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April 1, 2003

Mr. Grady C. Cothen, Jr.
Deputy Associate Administrator for Safety
Standards and Program Development
c/o Docket Clerk
Federal Railroad Administration
1120 Vermont Avenue, N.W.
Washington, D.C. 20590

Re: Docket No. FRA-2001-8728, Notice No. 3 -29
49 CFR Part 241, U.S. Locational Requirement for Dispatching of U.S. Rail Operations: Final Rule

Petition of Canadian National Railway Company for waiver to allow continuation of extraterritorial dispatching operations on the Sprague Subdivision between Baudette, MN and International Boundary, MN

Dear Mr. Cothen:

In accordance with § 241.7, Canadian National Railway Company ("CN") respectfully petitions the Federal Railroad Administration for a waiver to allow for the continuation of its existing extraterritorial dispatching operation over 43.8 miles of track on its Sprague Subdivision between Baudette, Minnesota and International Boundary, Minnesota.

§ 241.7(c)(2)(i) Description of Operation

CN's Sprague Subdivision runs from Rainy River, Ontario, Canada to Navin, Manitoba, Canada, a distance of 145.2 miles. A 43.8-mile portion of this line cuts across a corner of the State of Minnesota from the U.S.-Canadian border near Baudette, Minnesota (milepost 1.1) to International Boundary (milepost 44.9).

Approximately 15 trains per day are operated over this section of track.

The entire Sprague Subdivision is controlled under Centralized Traffic Control ("CTC") by Desk K of the Rail Traffic Control Center ("RTC Center") located in the Western Operations Center ("Operations Center") in Edmonton, Alberta. This desk controls the CN Sprague and Fort Frances Subdivisions as well as the CTC portion of the Kashabowie Subdivision, a total of 383.6 miles.

The desk is manned by a Train Dispatcher (known in Canada as a Rail Traffic Controller or "RTC") 24 hours per day, 7 days per week working in 8-hour shifts.

A track layout for the U.S. portion of the subdivision is attached herein as Appendix A. A map of the area including the Sprague Subdivision is attached herein as Appendix B. Timetable information for the Sprague Subdivision is attached herein as Appendix C.

§ 241.7(c)(2)(ii) Operating Rules and Instructions

The entire Sprague Subdivision, including the portion located in the U.S., is operated in accordance with the Canadian Railway Operating Rules ("CROR") that have been approved by Transport Canada. A copy is attached herein as Appendix D.

All CN RTC's, including those controlling the U.S. portion of the Sprague Subdivision, have also been provided with Rail Traffic Controllers' Manuals (a copy of which is attached herein as Appendix E) which contain specific requirements related to the train dispatcher's role.

RTC's are also governed by information in CN Safety Rules, General Operating Instructions, divisional data, and specific notices for dispatching trains over the CN system, including the U.S. portion of the Sprague Subdivision.

Chief Dispatchers and RTC's who oversee the U.S. portion of the Sprague Subdivision must also be familiar with applicable FRA regulations for train operations.

Hours of Service. Although not specifically covered by Transport Canada's hours-of-service rules, CN has, through a combination of collective agreements with associated labor organizations and company policy, established specific requirements for maximum hours of service for train dispatchers.

All CN RTC's, including Desk K at the RTC Center, are governed by a collective agreement between CN and the Rail Canada Traffic Controllers Union. Desk K RTC's are scheduled for 8-hour shifts under normal assignment. In the event of an unforeseen staffing shortage, RTC's may be requested to work 12 hours by covering their assigned shift and 4 hours of an adjoining unfilled shift. This is, however, a rare occurrence.

RTC hours worked are tracked and recorded by the RTC Staff Coordinator located at the Operations Center. This information is available for inspection by regulatory personnel.

Efficiency Testing. Although Transport Canada does not have specific federal regulations governing efficiency testing, CN has established an extensive efficiency testing program for its Canadian-based operating employees including RTC's. This program, known as Performance Monitoring and Rule Compliance ("PMRC"), is virtually identical to the U.S. requirements that CN uses for its U.S.-based dispatching offices.

Efficiency testing and rule compliance testing of RTC's is a continuous process under which Chief Dispatchers have monthly targets with respect to the number of PMRC tests to be

conducted. These targets are established to ensure that each RTC is randomly tested each month for overall performance and rule compliance.

In addition, new technology being added in 2003 will allow Chief Dispatchers and others in management to "live monitor" (from their own workstations) the RTC's.

The Manager of the Operations Center also monitors the RTC's for overall rules compliance.

A copy of the CN efficiency testing program is attached herein as Appendix F.

§ 241.7(c)(2)(iii) Drug and Alcohol Abuse Prevention Programs

Although drug and alcohol testing is not regulated in Canada, CN has conducted pre-employment drug testing for employees entering into safety-sensitive positions, including train dispatchers, since the mid 1980's. **§ 241.7(c)(2)(iii)(A).** In addition, in 1997 CN instituted a comprehensive drug and alcohol policy and program for its Canadian operation that includes testing for:

- Pre-employment for safety-sensitive positions including train dispatchers (drug only). **§ 241.7(c)(2)(iii)(A).**
- Pre-assignment to a safety-sensitive position. **§ 241.7(c)(2)(iii)(A).**
- Reasonable cause. **§ 241.7(c)(2)(iii)(C).**
- Post accident. **§ 241.7(c)(2)(iii)(E).**
- Return to service/follow-up (post-treatment).

A copy of the CN Drug and Alcohol Policy and Guidelines is attached herein as Appendix G. (It should be noted that although the document is marked draft, this revised version of the policy which includes post-accident testing has been implemented in the field since the middle of 2002, with supervisors and other subject matter experts having been trained.)

CN's Canadian Drug and Alcohol Program also provides for employee self-referral and co-worker report programs similar to that which would be required under the expanded scope of 49 CFR Part 219. **§ 241.7(c)(2)(iii)(D).** A copy of this program is attached herein as Appendix H.

CN has long argued for drug and alcohol legislation that would include random testing for safety sensitive positions in Canada **§ 241.7(c)(2)(iii)(F)** and, as noted in our comments on the NPRM, continues to urge the FRA to work with Transport Canada to develop common drug and alcohol legislation that would help further the safety of operations on both sides of the border while reducing the problems that CN would face in the way of potential cost and challenges associated with unilateral FRA legislation affecting Canadian-based employees.

Canada's new Railway Medical Rules provide for full medical assessments, including substance abuse-related issues, for train dispatchers every 3 to 5 years depending on age. The Canadian Railway Safety Act also requires any physician examining or treating a person in a

railroad safety-critical position, such as a train dispatcher, to report any medical concerns to the railway's chief medical officer. This is supported by a series of specific medical guidelines covering vision, hearing, diabetes, epilepsy, cardio-vascular and mental disorders, and other conditions. These guidelines were developed by medical experts in each respective field and are tailored to the specifics of railroad operation.

Rule G of the CROR prohibits the use of intoxicants, narcotics or mood altering agents by employees subject to duty, or their possession or use while on duty. It also prohibits the use of drugs, medication, or mood altering agents, including those prescribed by a doctor which in any way could adversely affect the ability to work safely by employees subject to duty or on duty. This is supported by the CN Drug and Alcohol Policy. **§ 241.7(c)(2)(iii)(B).**

§ 241.7(c)(2)(iv) Security at RTC Center

General. The security measures for CN's Canadian operations, including dispatching centers, are fully comparable to those for its U.S. operations. CN is as concerned about safety and security as the FRA and the entire North American rail industry. CN has worked with the AAR and FRA on many task forces to review security issues in light of September 11, 2001, and has taken measures to increase security on both sides of the border.

CN has a dedicated police department in both Canada and the U.S. that plays a major role in ensuring the security of its operations and installations. CN is also an active member of the North American Association of Railroad Chiefs of Police and has established close contacts with the intelligence unit of the Royal Canadian Mounted Police, the FBI, and other external police organizations to ensure the sharing of information pertaining to security issues.

CN works closely with the Security and Emergency Preparedness section of Transport Canada and is part of the Memorandum of Understanding between this group and the Railway Association of Canada, which requires Canadian railroads to have security plans and to perform regular security exercises.

Main Entrance. The RTC Center is located in the Operations Center building. Employees and visitors enter the Operations Center through the front door—the only entrance to the building. All other doors in the building are equipped with alarms to prevent unauthorized access. Employees must use a security/access card reader located at the front entrance. Visitors without a card must contact designated employees on each floor who must confirm the identity of the person and authorize access to the building. Not all CN employees have access to the RTC Center. CN Police strictly control access with direction from the Operations Center's senior management.

RTC Center. The RTC Center is located on the third floor of the Operations Center building. A security/access card reader is located at the entrance to the third floor lobby. This door is locked at all times and is constructed of heavy metal with a very narrow window.

Once past the initial door and into the third floor lobby, employees or visitors to the actual dispatching offices must swipe their security/access cards through an additional reader. A scanner is also located at the emergency exit at the opposite end of the offices.

A video camera inside the dispatching center allows the supervisor's desk to monitor the building's front entrance.

CN Police. As the CN Police have an office in the building (located at the front entrance), there is almost always a police presence in the building. In addition, CN Police have roving mobile officers throughout the greater Edmonton area allowing for a quick response to any incident at the Center. If the threat level were sufficient, CN Police would be assigned to the lobby area to check identification and, if warranted, would be supplemented by more thorough screening, additional security guards, and metal detectors.

Chief Dispatchers also have priority "hotline" communications to the CN Police Communications Center in Montreal, or may call 911 in any emergency. (A City of Edmonton fire station is approximately 30 seconds away from the Center.) They are also required to carry portable companion phones with them at all times to ensure a constant and reliable communication source. (A companion phone is similar to a cordless phone except the range is greater—up to 300 feet. Companion phones are linked to the regular lines the Chiefs use in their normal day-to-day routine, and they are expected to carry these phones if they leave their work station for any length of time.)

§ 241.7(c)(2)(v) Complying with paragraph (c)(3).

§ 241.7(c)(3)(i) Trackage/Route Miles. The route miles will be the miles normally operated by the CN in conducting the operation, i.e., the 43.8 miles between milepost 1.1 and 44.9 on the Sprague Subdivision.

§ 241.7(c)(3)(ii) Same Assigned Crew. As crew-change locations are located at either end of the Sprague Subdivision, the same crew handles the train over the entire U.S. portion of the line.

§ 241.7(c)(3)(iii) English Language and Measurements. Dispatching of all track in the U.S., including the 43.8-mile portion of the Sprague Subdivision, is an entirely English operation and fully dispatched in English. CN uses English (or Imperial) units for all aspects of railroad operations including distance, speed and location.

§ 241.7(c)(3)(iv) Single Dispatching Control. The entire Sprague Subdivision is CTC controlled by Desk K at the RTC Center.

§ 241.7(c)(3)(v) Transfer from Fringe Border Dispatcher. As this is a "bridge" segment between two Canadian portions, the train is never turned over to a U.S. dispatcher. The train is handled by the same Edmonton dispatcher as it travels on the Sprague Subdivision from Canada into the U.S. and back into Canada again.

§ 241.7(c)(2)(vi) Verification of Regulatory Oversight. It is our understanding that Transport Canada will be providing a letter directly to the FRA supporting CN's petition and confirming their role in providing regulatory oversight of CN's operations, including U.S. track dispatched from Canada. For some time, CN has been diligently requesting Transport Canada to issue this letter.

CN's operations in Canada, including all dispatching operations in the RTC Center, fall under the regulatory authority of Transport Canada. Human Resources Development Canada – Labour provides additional oversight under the Canada Labour Code, including the requirement for Health and Safety Committee representation.

Included in this Canadian federal railroad legislation are items that exceed comparable requirements in the U.S. These include the Railway Medical Rules for Safety Critical Employees (including train dispatchers) which was discussed in § 241.7(c)(2)(iii).

In addition, Transport Canada's Safety Management Systems ("SMS") regulation enacted in 2001 requires all Canadian federally regulated railroads to develop a comprehensive plan and associated processes to address safety including corporate safety culture, responsibilities, communications, performance targets and monitoring, safety auditing, and risk assessments. The SMS regulation also requires that railroads establish a formal risk assessment protocol and conduct a risk assessment for any significant change in operations. There is no comparable regulatory requirement in the U.S.

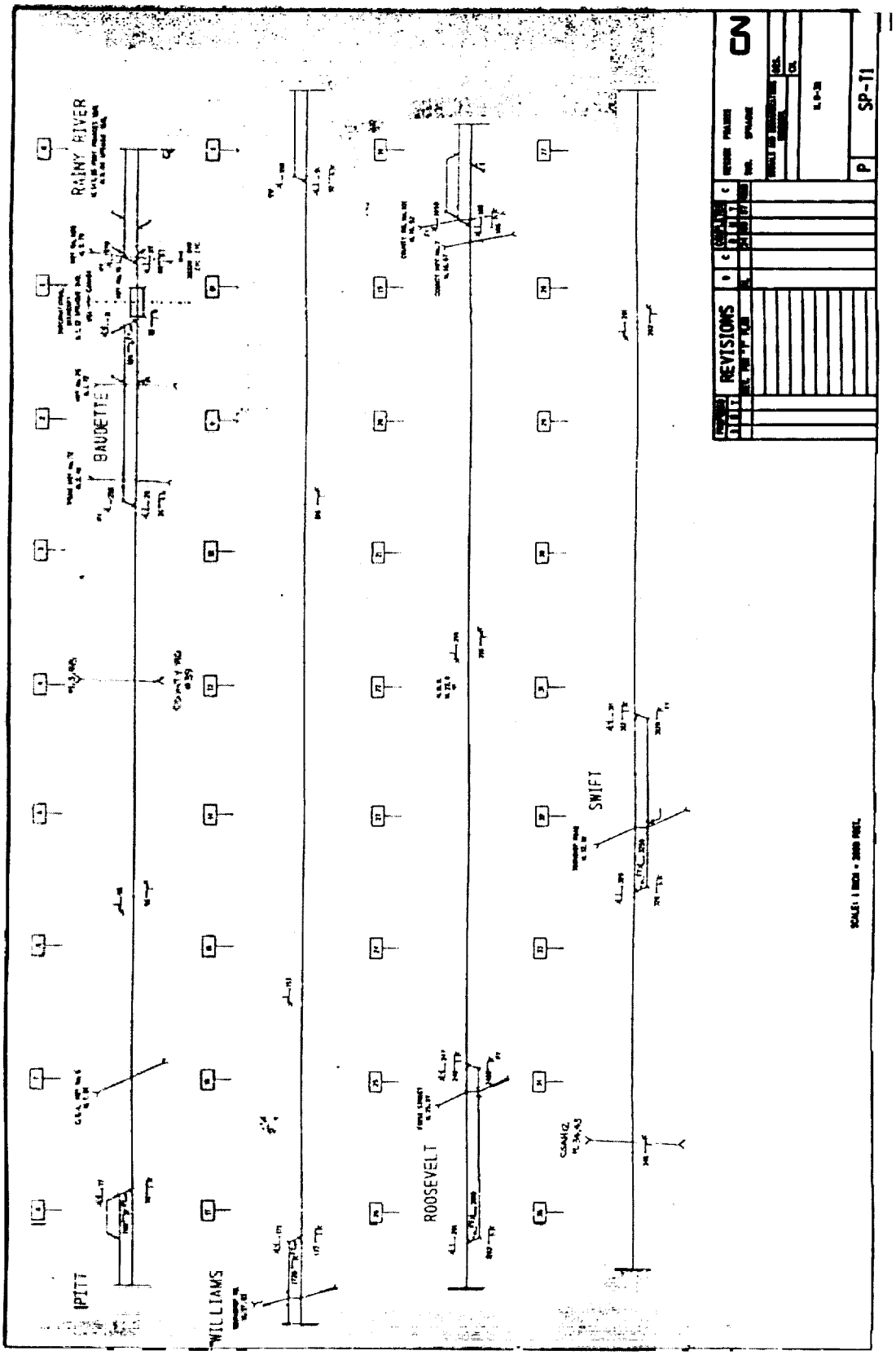
* * * * * * * * * * * * * *

CN believes this submission fulfills the requirements for requesting a waiver of compliance with regard to Docket No. FRA–2001–8728, Notice No. 3–Final Rule. Feel free to call me should you have questions or need clarification.

Respectfully submitted,

Michael J. Barron, Jr.
Counsel

cc: Don Watts
Michel Huart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REVISIONS
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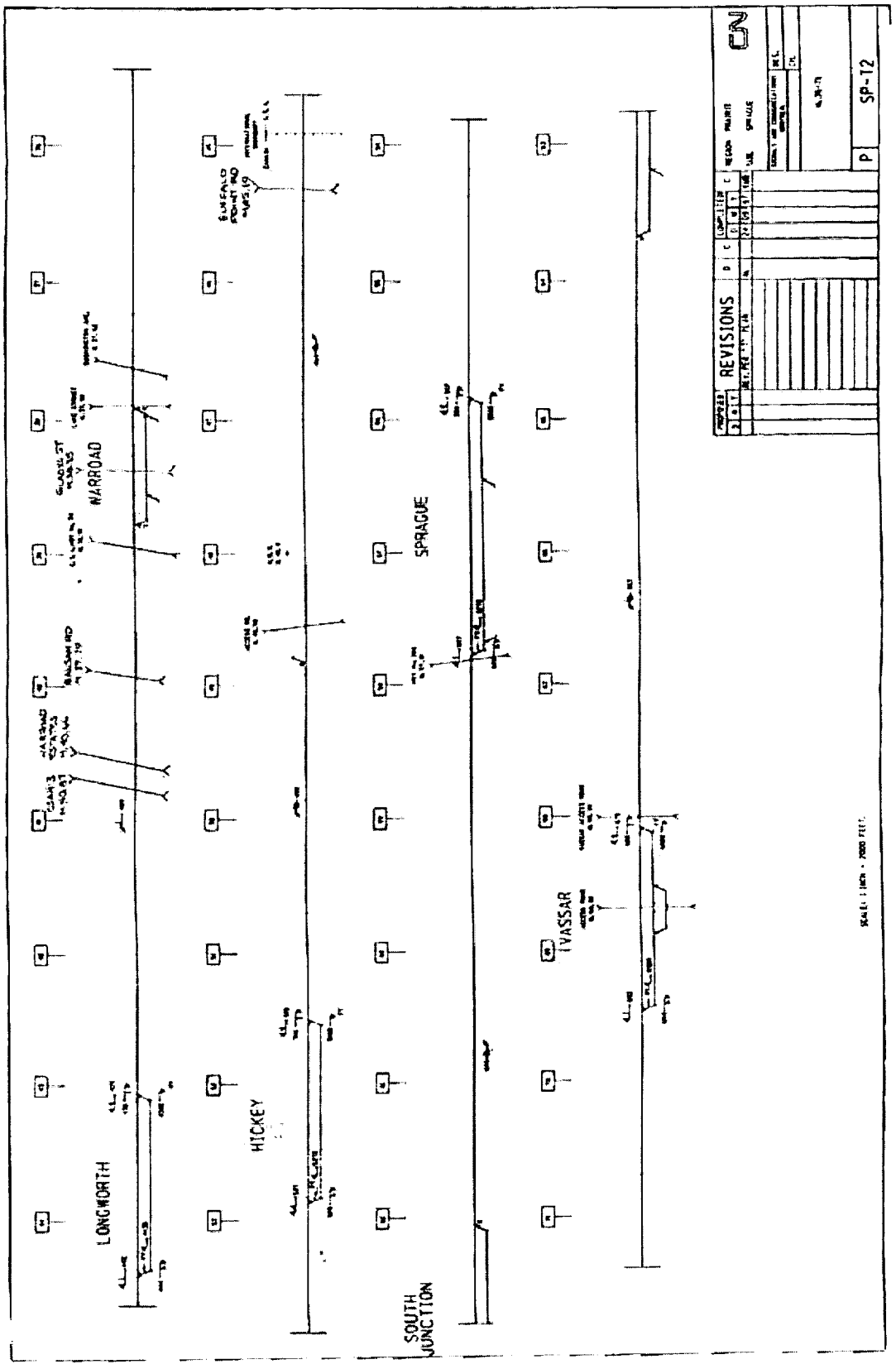
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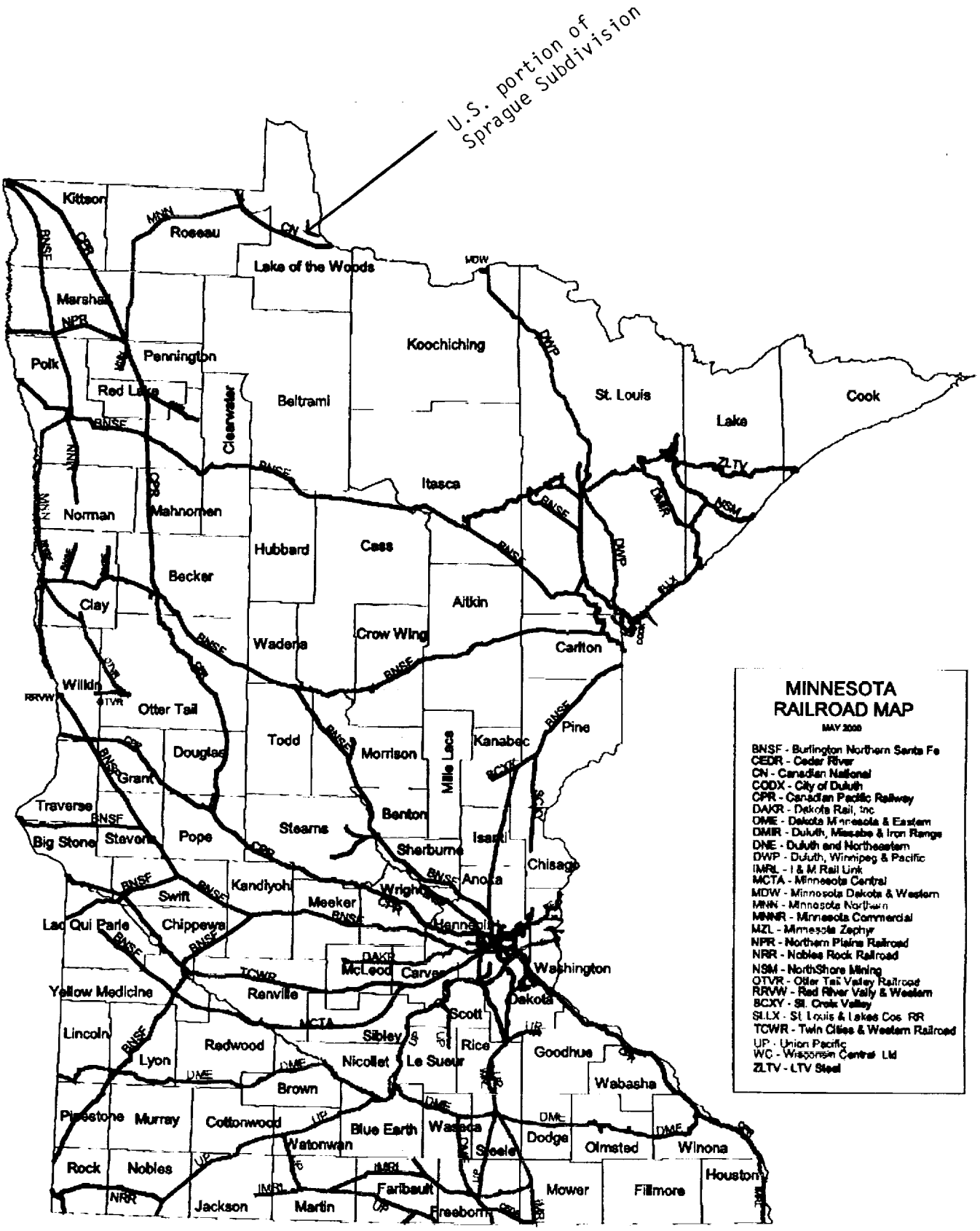

U.S. portion of
Sprague Subdivision
Kittson
Roseau
Lake of the Woods
Marshall
Koochiching
Polk
Pennington
Red Lake
Beltrami
St. Louis
Lake
Cook
Itasca
Norman
Mahnomen
Hubbard
Cass
Becker
Clay
Aitkin
Wadena
Crow Wing
Carlton
Wilkin
Otter Tail
Todd
Morrison
Kanabec
Pine
Douglas
Grant
Traverse
Benton
Stearns
Big Stone
Stevens
Pope
Sherburne
Isanti
Chisago
Swift
Kandiyohi
Meeker
Wright
Anoka
Lac Qui Parle
Chippewa
Hennepin
McLeod
Carver
Washington
Yellow Medicine
Renville
Dakota
Scott
Lincoln
Sibley
Rice
Redwood
Goodhue
Lyon
Nicollet
Le Sueur
Wabasha
Brown
Pipestone
Murray
Cottonwood
Blue Earth
Waseca
Dodge
Olmsted
Winona
Watonwan
Steele
Rock
Nobles
Faribault
Mower
Fillmore
Houston
Jackson
Martin
Freeborn
MINNESOTA
RAILROAD MAP
MAY 2008
BNSF - Burlington Northern Santa Fe
CEDR - Cedar River
CN - Canadian National
CODX - City of Duluth
CPR - Canadian Pacific Railway
DAKR - Dakota Rail, Inc
DME - Dakota Minnesota & Eastern
DMIR - Duluth, Missabe & Iron Range
DNE - Duluth and Northeastern
DWP - Duluth, Winnipeg & Pacific
IMRL - I & M Rail Link
MCTA - Minnesota Central
MDW - Minnesota Dakota & Western
MNN - Minnesota Northern
MNNR - Minnesota Commercial
MZL - Minnesota Zephyr
NPR - Northern Plains Railroad
NRR - Nobles Rock Railroad
NSM - NorthShore Mining
OTVR - Otter Tail Valley Railroad
RRVW - Red River Valley & Western
SCXY - St. Croix Valley
SLLX - St. Louis & Lakes Cos RR
TCWR - Twin Cities & Western Railroad
UP - Union Pacific
WC - Wisconsin Central Ltd
ZLTV - LTV Steel

LAKEHEAD ZONE - SPRAGUE SUB
Time Table No. 10 [30] MARCH 1, 2003

Method of Control	Number of Tracks	SPRAGUE SUBDIVISION W ↓ E ↑	Mile	Siding Capacity In Feet	DOB / TGBO	Hot Box and Dragging Equipment Detectors	RTC Radio Channel, Tones and DTMF Codes	Engineering Radio
Rule 105		RAINY RIVER	0.0		0.0			
CTC	1	BAUDETTE	1.6	6857	TGBO		C3 T1 053	81 4211
		PITT	8.5	6948				
		WILLIAMS	17.8	6700		12.8		
		ROOSEVELT	25.6	6220		28.2	C3 T2 053	84 4212
		SWIFT	31.7	5674				
		WARROAD	38.4					
		LONGWORTH	43.6	6538				
		INTERNATIONAL BDRY	45.0			48.0		
		HICKEY	52.0	6514				
		SPRAGUE	56.9	9690				
		VASSAR	68.6	6824		71.4	C3 T2 053	81 4213
		CARRICK	83.1	6811				
		BAYNHAM	94.3	6511		97.0		
		BEDFORD	99.6	6610			C3 T1 053	84 4214
		LA BROQUERIE	113.0	6633				
		GIROUX	118.8	6815		120.7		
		DUFRESNE	130.9	6690		133.1		
		LORETTE	138.2	6627				81 4215
		NAVIN	146.2		146.2			

SUBDIVISION CONTROL FEATURES
CTC BETWEEN MILE 0.7 AND NAVIN
CONTROLLED BY RTC EDMONTON.
RULE 105 AND RULE 105(a) APPLICABLE
BETWEEN RAINY RIVER AND MILE 0.7.
SWITCHING ZONE BETWEEN MILE 0.7 AND MILE 3.0
AND BETWEEN MILE 142.0 AND NAVIN.

SPRAGUE SUBDIVISION FOOTNOTES

1 CANADIAN RAIL OPERATING RULES

1.1 SPECIAL APPLICATIONS

(a) Rainy River - Track 1

Rule 35(b) - Applicable when necessary to perform emergency work.

Rule 40.1 - The RTC must provide permission prior to performing track work.

Rule 105(a) - Applicable.

Rule 105.1 - The RTC must be advised when equipment is left on Track 1.

(b) **Rule A** - Employees operating within Winnipeg Terminal Area must have copy of the Winnipeg Terminal Operating Manual accessible. Rule A (ii) - All CN employees to the Sprague Sub are required to be in possession of and are governed by Canadian Rail Operating Rules dated March 1st, 2002.

(c) **Rule 13** - The engine bell must be rung for all public crossings at grade within the USA.

(d) **Rule 19** - In the application of this rule, the US Federal Railway Administration has exempted the requirement for a lighted or flashing marker on those portions of the Sprague Subdivision within the United States.

(e) **Rule 83.2 - TGBO** - All crews reporting for duty must obtain applicable TGBO for their train or engine assignment prior to commencing work WHETHER OR NOT they will be operating on the main track. TGBO may include instructions or restrictions required to operate within non-main trackage.

(f) **Rule 90** - In addition to the requirements of this rule, a member of the crew on WESTBOUND trains must initiate a radio broadcast prior to departing the siding west switch Longworth stating e.g. "5100 West approaching Canada Customs".

(g) **Rule 104(c)** —The following switches may be left lined and locked in either position:

Rainy River - All switches other than subdivision switches equipped with a lock.

(h) **Rule 104.5 - Self Restoring Derails**

Navin - Mile 145.2 - DTMF code *339

2 GENERAL FOOTNOTES

2.1 Baudette / International Boundry

Trains Operating into US Territory: All train and engine crew personnel must be cleared by the United States Immigration Service before working in or through the United States. Such employees should have in their possession one of the following;

a) US Social Security Card

b) Birth Certificate, or

c) Valid driver's licence.

Train crews should be prepared to spot their trains at border locations for customs inspection when requested.

When cars are set out en route in the State of Minnesota, the conductor will be required to give a copy of the train journal, indicating set-off, to the American Customs office at the port of entry.

When empty or loaded cars in transit are set out in the State of Minnesota due to hot box, car defect, engine failure, or other unforeseen circumstances, the conductor will be required to give a copy of the train journal, indicating set-off, to the next American and Canadian Customs offices.

No traffic will be lifted en route unless authorized by switch list and/or message. Such traffic will have corresponding documentation completed prior to leaving originating terminal and will be so noted on the required customs documentation.

Conductors engaged in pick-up or set-out service in the United States will be required to complete Customs Form CN 9514-3/92, for delivery to Canada and United States customs as per instructions on form CN 9514-3/92.

Trains will be required to stop at customs points to accommodate notification of work performed or to be performed, and presentation of customs documents.

Trains that have picked up cars in the State of Minnesota destined to U.S. or Canada points must stop at the next American and Canadian Customs offices and deliver required documentation, and affix in transit seals as required.

Auxiliaries and work or emergency trains are not to be considered through or in transit trains and must stop at the Customs and Immigration offices for complete inspection. Roster indicating personnel of auxiliary, road repair truck, etc. must be prepared to assist Immigration Officers.

Auxiliary and work trains must stop for Customs and Immigration Inspection at both offices when entering and again when leaving the United States. Employee in charge of auxiliaries, road repair cars, etc. must have a list of contents indicating their value.

Gangs moving through the United States are not permitted to pass through on in-transit trains.

Gangs when moving through the United States on other than in-transit trains may have personnel remain in their cars and be admitted after inspection at the port of entry if they satisfy the following requirements:

(A) They are Canadian citizens, or

(B) They are British Subjects residing in Canada, or

(C) They are of another nationality but have documents properly visaed for travel through the United States.

Advance notification must be given for inspection at the port of entry if these employees are to remain with their cars. The person in charge of the gang must have all employees ready for inspection before arrival at the port of entry and a roster indicating names and addresses of personnel in the gang.

Railroad cars, auxiliaries, etc. entering the United States to work, must exit at the same point as entered.

When business cars are handled in transit trains and are occupied by supervisors who have been previously cleared by Immigration Service, train may pass through the United States under the in transit agreement.

When persons not enjoying pre-inspection privileges occupy business cars, stop must be made for Customs and Immigration inspection. Advice regarding the movement of business cars should be issued in advance to the applicable Customs and Immigration offices by the chief RTC's office.

Canadian Customs and Immigration will be furnished on request an inventory of supplies on hand in business cars. Inventory will be checked and certified at Canadian port of exit and again at port of re-entry.

The North American Emergency Response Guide Book as outlined in Dangerous Goods section of the Operating Manual, meets the FRA requirements when handling dangerous goods in the United States.

Crossing U.S. Borders

1. Westbound Trains - Baudette

All westbound trains must stop at the United States border crossing at Baudette. Train crews must have proper identification with them and must be prepared to produce identification for United States Customs officials. Trains stopped may be required to perform a slow roll by for United States Customs officials. Trains must not proceed into the United States until permission has been received from United States Customs officials.

2. Eastbound Trains - International Boundary, mile 45 Sprague Sub.

Train crews must have proper identification with them and be prepared to produce identification for United States Customs officials. Trains stopped may be required to perform a slow roll by for United States Customs officials. Trains must not proceed beyond mile 45 Sprague Sub until permission has been received from United States Customs officials.

3 INTERLOCKINGS

Nil

4 EQUIPMENT RESTRICTIONS

4.1 Heaviest car permitted (including contents): 286,000 lbs.

4.2 **Mile 1.1** (Bridge) - Braking, stopping, starting and heavy working of locomotives on any portion of the bridge must be kept to an absolute minimum.

5. SPEEDS

5.1 SUBDIVISION SPEED

0.0 to 1.60 ZONE	**10 MPH**
1.6 to 142.40 ZONE	**60 MPH**
1.6 to 44.8	**50 mph**
44.8 to 46.3	**20 mph**
65.0 to 100.6	**50 mph**
112.2 to 108.8	**50 mph**
142.4 to 145.2	**50 mph**

5.2 Conditional Speeds

(a) **100 TOB** - When train TOB exceeds 100 as indicated on the WOPRT (train journal), westward trains will be governed by the following speed restrictions:

WESTWARD MOVEMENTS

Freight trains exceeding 100 TOB

Mile 109.5 signal 1095	55*
Mile 127.5 signal 1275	55*

NOTE:

(i) TOB - tons per operative brake will be indicated on Work Order (WOPRT) or TRAIN JOURNAL.

(ii) * When a speed is indicated for a signal location, it is applicable approaching that signal until it can be determined that such signal is displaying a more favorable indication than CLEAR TO STOP.

(b) **Mile 1.7** (Highway 26) - Movements within 600 feet of crossing must not exceed 16 mph until crossing fully occupied.

(c) **Mile 2.5** (Trunk Highway 72) - Westward movements within 600 feet of crossing must not exceed 15 mph until crossing fully occupied.

(d) **Mile 113.33** (Fournier Street) - Due to sightline restrictions when there are cars or train in La Broquerie Siding, westward movements must not exceed 20 mph until crossing fully occupied.

(e) **Mile 113.68** (Provincial Road No. 210) - Movements within 2180 feet of must not exceed 55 mph until crossing fully occupied.

(f) **Mile 118.43** (Public crossing over Giroux Siding) - Movements within 1400 feet of crossing must not exceed 50 mph until crossing fully occupied.

6 PUBLIC CROSSINGS AT GRADE

6.1 **Mile 143.4** Fort Frances Sub. (Government Road) -three tracks. Locomotives or cars must not be left standing between crossing circuit signs.

6.2 **Push Buttons** - When necessary to cut trains, the crossing protection at the following sidings requires use of STOP and START push buttons to activate the crossing protection:

Mile 1.7 (Highway 26) Automatic Warning Devices.

Mile 2.5 (Trunk Highway 72) Automatic Warning Devices.

Mile 17.6 (Township Road) Automatic Warning Devices.

Mile 25.1 (First St.) Automatic Warning Devices.

Mile 32.1 (Township Road) Automatic Warning Devices.

6.3 **Mile 37.9** (Lake St.) Automatic Warning Devices - Eastward movements from Track SP 62. Stop sign west of crossing.

Mile 38.4 (Gladys Ave.) Track SP 62 - Automatic Warning Devices. Stop signs both sides of crossing.

Mile 68.7 (Vassar Access Road) Track SO 21 - Automatic Warning Devices. Stop signs both sides of crossing.

7 SPECIAL INSTRUCTIONS APPLICABLE ON SPURS AND OTHER TRACKS

Nil

8 SPECIAL DANGEROUS COMMODITIES

8.1 Do not exceed 35 MPH between mile 140.0 and mile 145.2.

8.2 Westward movements must be inspected at mile 133.1.

CANADIAN NATIONAL RAILWAYS

Appendix D

Requirements For Compliance to

CANADIAN RAIL OPERATING RULES

FOR USE ON

CANADIAN NATIONAL RAILWAYS

WITHIN CANADA.

THESE RULES INCLUDE ONLY THOSE CROR RULES THAT APPLY TO CN OPERATIONS AND INCLUDE MODIFICATIONS AND INSTRUCTIONS APPLICABLE HERETO.

MARCH 1, 2002

INDEX

General Notice

Safety and a willingness to obey the rules is of the first importance in the performance of duty. If in doubt, the safe course must be taken.

General Rules

A. Every employee in any service connected with the movement of trains or engines shall;

(i) be subject to and conversant with these rules, special instructions and general operating instructions;

(ii) have accessible while on duty a copy of:

- this rule book;
- general operating instructions;
- applicable divisional data;
- applicable yard and terminal manuals;
- current time table and supplements.

(iii) provide every possible assistance to ensure every rule, special instruction and general operating instruction is complied with and shall report promptly to the proper authority any violations thereof;

(iv) communicate by the quickest available means to the proper authority any condition which may affect the safe movement of a train or engine and be alert to the company's interest and join forces to protect it;

(v) obtain assistance promptly when it is required to control a harmful or dangerous condition;

(vi) be conversant with and be governed by every safety rule and instruction of the company pertaining to their occupation;

(vii) pass the required examination at prescribed intervals and carry, while on duty, valid certificates of rules qualification and medical fitness;

(viii) seek clarification from the proper authority if in doubt as to the meaning of any rule or instruction;

(ix) conduct themselves in a courteous and orderly manner;

(x) when reporting for duty, be fit, rested and familiar with their duties and the territory over which they operate; and

(xi) while on duty, not engage in non-railway activities which may in any way distract their attention from the full performance of their duties.

Note: Printed material not connected with the movement of trains and engines or required in the performance of duty, must not be openly displayed.

B. Special instructions will be found in current time tables, general operating instructions, operating bulletins, WOB, GBO, TGBO, Daily Operating Bulletin (DOB) and CN Operating Manuals.

C. Employees must;

(i) be vigilant to avoid the risk of injury to themselves or others;

(ii) expect the movement of a train, engine, car or track unit at any time, on any track, in either direction;

(iii) not stand in front of an approaching engine or car for the purpose of boarding such equipment;

(iv) not ride the side or above the roof of a moving engine or car when passing side and/or overhead restrictions;

(v) not be on the roof of a moving engine or car, or on the lading of a moving open top car; and

(vi) not be on the end ladder of a car while in motion except for the purpose of operating a hand brake.

(vii) when required to ride a cut of cars, ride at least one car ahead of a car which is known or suspected to have sustained a shifted load.

D. Each employee must be acquainted with, and be on the lookout for, restricted side and overhead clearances. Where standard restricted clearance signs are used, no other advice of restricted clearance will elsewhere or otherwise be given. If such signs are not provided in a yard or terminal, the location of the restricted clearance will be shown in special instructions.

E. Overhead and side clearance may be restricted on a track at a main shop, diesel or car shop. Where restricted clearance exists on such track, it will not be marked by a standard restricted clearance sign nor will its location be elsewhere or otherwise given. Employees must not ride on top or side of equipment when on any main shop, diesel shop or car shop track, whether or not the overhead and side clearance is restricted.

G. (a) The use of intoxicants or narcotics by employees subject to duty, or their possession or use while on duty, is prohibited.

(b) The use of mood altering agents by employees subject to duty, or their possession or use while on duty, is prohibited except as prescribed by a doctor.

(c) The use of drugs, medication or mood altering agents, including those prescribed by a doctor, which, in any way, will adversely affect their ability to work safely, by employees subject to duty, or on duty, is prohibited.

(d) Employees must know and understand the possible effects of drugs, medication or mood altering agents, including those prescribed by a doctor, which, in any way, will adversely affect their ability to work safely.

DEFINITIONS

ADVANCE SIGNAL - A fixed signal used in connection with one or more signals to govern the approach of a train or engine to such signal.

DAILY OPERATING BULLETIN (DOB) - Instructions regarding track condition restrictions and other information which affect the safety and movement of a train or engine within limits indicated in the time table or specified in special instructions.

ENGINE - A unit propelled by any form of energy, or a combination of such units operated from a single control, used in train or yard service.

EQUILATERAL TURNOUT - A turnout where both tracks leading from the switch diverge equally.

EQUIPMENT - One or more engines and/or cars which can be handled on their own wheels in a train.

FIXED SIGNAL - A signal or sign at a fixed location indicating a condition affecting the movement of a train or engine.

GENERAL BULLETIN ORDER(S) (GBO) - Instructions regarding track condition restrictions and other information which affect the safety and movement of a train or engine.

MAIN TRACK - A track extending through yards and between stations, upon which trains or engines are authorized and governed by one or more methods of control. Rules pertaining to the main track also apply to tracks specified as signalled sidings and other signalled tracks.

MULTITRACK - Two or more main tracks on the same subdivision.

NON-MAIN TRACK (NMT) - Trackage where CTC or OCS is not applicable. It may be designated in special instructions as controlled non-main tracks.

OCCUPANCY CONTROL SYSTEM (OCS) - A system in which OCS rules apply.

SIDING - A track auxiliary to the main track, for meeting or passing trains, which is so designated in the time table, GBO, DOB or TGBO.

SIGNAL INDICATION - The information conveyed by a fixed signal.

SINGLE TRACK - One main track upon which trains are operated in both directions.

SPEEDS:

SPEED	MPH that must not be exceeded	Be able to stop within 1/2 range of vision of equipment	Prepared to stop short of a switch not properly lined	Be on the lookout for a broken rail
SLOW	15			
DIVERGING	25			
MEDIUM	30			
LIMITED	45			
REDUCED		X		
RESTRICTED	15	X	X	X

SPRING SWITCH - A switch equipped with a spring mechanism arranged to restore the switch points to normal position after having been trailed through.

STATION - A location identified by a station name sign and designated by that name in the time table.

SUBDIVISION - A portion of a railway designated by time table.

SWITCHING ZONE - That portion of the main track or main tracks in CTC, within limits specified in the time table or special instructions.

TGBO - Instructions regarding track condition restrictions and other information which affect the safety and movement of a train or engine within limits indicated in the time table or specified in special instructions.

TIME TABLE - The document which contains subdivision information, footnotes and special instructions relating to the movement of trains, engines and track units.

TRACK OCCUPANCY PERMIT (TOP) - Permit(s) issued for the protection of track units and track work.

TRACK UNIT (TU) - A machine that operates on a railway track and is used in connection with construction or work on, or inspection of, a railway track.

TRAIN - An engine or more than one engine coupled, with or without cars, or a track unit(s) so designated by its operating authority, displaying a marker(s).

TRANSFER - An engine movement with cars operating within OCS or a Switching Zone in CTC that need not be TIBS equipped or display a marker. If not TIBS equipped, such transfer movement must not exceed 15 MPH.

YARD - A system of tracks, other than main tracks, provided for the making up of trains, storing of cars and for other purposes, over which movements may be made, subject to prescribed signals, rules and special instructions.

NOTES:

(i) Unless otherwise specified, these rules are applicable without respect to the number of main tracks.

(ii) Rules pertaining to the main track also apply to tracks specified as signalled sidings and other signalled tracks.

(iv) Radio may be used to communicate information or instructions except when its use is restricted by these rules, special instructions or general operating instructions.

(v) When the term "in writing" is used in these rules, special instructions and general operating instructions, if the written permission, authority or instruction referred to is not received personally by the receiving employee, it must be copied by the receiving employee and repeated back to the sender to ensure it was correctly received.

(vi) Wherever the following occupational names or titles appear in these rules, special instructions, or general operating instructions, they apply to the employee, male or female, who is qualified and is responsible for performing the duties of: conductor, flagman, foreman, locomotive engineer, pilot, rail traffic controller, signalman, snow plow foreman, switchtender, trainman or yardmaster. Operating rules and special instructions requiring joint compliance, may be carried out by either the locomotive engineer or conductor where only one employee is required.

(vii) Wherever the following: engine, train, trains, train or engine or track unit appear in these rules, special instructions or general operating instructions, the necessary action will be carried out by a crew member or crew members of the engine, train or track unit.

(viii) In these rules, special instructions and general operating instructions, the term:

(a) "engine" also applies to an engine with cars;

(b) "conductor" also applies to a yard foreman;

(c) "trainman" also applies to a yardman;

(d) "pilot" applies to an employee assigned to a train when the locomotive engineer or conductor, or both, are not fully acquainted with the physical characteristics or rules of the railway over which the train is to be operated;

(e) "proper authority" applies to the rail traffic controller or the appropriate railway supervisor.

(ix) The following abbreviations and acronyms, and those authorized by special instructions may be used:

ack	acknowledgement
com	complete
Cndr	conductor
CTC	centralized traffic control
DOB	daily operating bulletin
E	east
Eng	engine
Engr	locomotive engineer
Exp	express
Frmn	foreman
frt	freight
GBO	general bulletin order(s)
Jct	Junction
LCS	local control switch
Mins	minutes
MPH	miles per hour
N	north
NA	not applicable
NMT	non-main track
No	number
OCS	occupancy control system
Psgr	passenger
rpt	repeat
RTC	rail traffic controller
S	south
sdg	siding
Sub	subdivision
swt	switch
TOP	track occupancy permit(s)
Trnm	trainman
TU	track unit
W	west
WOB	weekly operating bulletin
WOPRT	work order, train journal or list
wk	work
xover	crossover

RTC may use approved office abbreviations for station and subdivision names and for controlled points when entering addresses on computer generated forms.

The following may also be used for:
the names of the days:

Mon	Monday	Fri	Friday
Tues	Tuesday	Sat	Saturday
Wed	Wednesday	Sun	Sunday
Thurs	Thursday		

the names of the months:

Jan	January	Sept	September
Feb	February	Oct	October
Mar	March	Nov	November
Apr	April	Dec	December
Aug	August		

(x) In these rules when the distance prescribed for the placement of signals, signs or flags is not possible due to track configuration, the maximum distance available applies.

TIME AND TIME TABLES

NOTE: The 24 hour system will be used and will be expressed in 4 digits. The digits 2359 or 0001 will be used to express the time at midnight.

2. WATCHES

Every conductor, locomotive engineer, trainman, pilot, foreman, snow plow foreman and such other employees as the company may direct, shall, when on duty, use a railway approved watch and shall;

(i) be responsible to ensure that it is kept in proper working condition so that it does not reflect a variation of more than 30 seconds in a 24 hour period;

(ii) set it to reflect the correct time if it reflects a variation of more than 30 seconds;

(iii) not regulate its movement.

An approved watch is one that is reliable and indicates hours, minutes and seconds. Hour factor must be indicated in numerals, e.g. 1,2,3 or I, II, III, IV. Minutes and seconds must be displayed as numerals or by the use of "tick" marks. A date indicator on the watch face eliminating a number e.g. 3 is also approved for service.

3. WATCH COMPARISON

(a) Before commencing work, every employee referred to in Rule 2 shall;

(i) compare the time on his watch with a railway approved time source;

(ii) where a railway approved time source is not accessible, obtain the correct time from the RTC or by comparing with another employee who has obtained the correct time.

(b) Every crew member assigned to a train or engine shall compare the time with one another as soon as possible after commencing work.

(c) Correct time may be obtained by telephone 1-800-363-5409. Time signal is bilingual and is given in Eastern Time. Employees must ensure that the hour factor of correct time obtained is properly interpreted for their time zone.

3.1. TIME IN EFFECT

The time table or special instructions will indicate whether Standard Time, Daylight Saving Time or other designated time is in effect.

3.2. NOTICE OF TIME CHANGE

Notice of time change will be given by operating bulletin and posted at least 72 hours prior to the time change taking effect. Notice will also be given by GBO, DOB or TGBO at least 24 hours prior to the change and for not less than 6 days after it takes effect.

3.3. EMPLOYEES ON DUTY WHEN TIME CHANGES

Each employee on duty when time changes, who is required to use a railway approved watch, must change time as follows:

(i) From Standard Time to Daylight Saving Time: At 0200 Standard Time, set the time ahead one hour to indicate 0300 Daylight Saving Time;

(ii) From Daylight Saving Time to Standard Time: At 0200 Daylight Saving Time, set the time back one hour to indicate 0100 Standard Time;

(iii) From or to a time, other than Standard Time or Daylight Saving Time: Employees affected will be governed by special instructions.

3.5. TIME COMPARISON WHEN TIME CHANGES

(b) Employees who have changed time in accordance with Rule 3.3 must immediately compare time with each other, within the following groups:

(i) Crew members on the engine of a train and snow plow foreman, if any;

(ii) Crew members on a train other than the engine, where applicable;

(iii) Crew members in yard service.

4. TIME TABLES AND THEIR USE

Each time table, from the moment it takes effect, supersedes the preceding time table.

4.1. NOTICE OF NEW TIME TABLE OR SUPPLEMENT

Notice will be given by operating bulletin or WOB and posted at least 72 hours prior to a new time table or supplement taking effect. Notice will also be given by GBO, DOB or TGBO at least 24 hours prior to the new time table or supplement taking effect and for not less than 6 days after it takes effect.

6. SYMBOLS AND DIAGRAMS

(a) The following symbols when used in the time table indicate:

+ Interlocking - see footnote for specific instructions.

* See footnote

B Operating bulletins

D Trains report departure to RTC

Y Wye

(d) Method of train control and the limits of single track or multitrack, will be indicated in the time table and when practicable, shown within brackets on either side of the station column.

(e) The location of each interlocking, non-interlocked drawbridge and non-interlocked railway crossing at grade will be indicated in subdivision footnotes.

(f) Siding capacity and the extent of DOB and TGBO limits or a switching zone will be indicated in time table columns, to the side of the station column or in subdivision footnotes.

SIGNALS - GENERAL

11. FUSEES

(a) A train or engine approaching a red fusee burning on or near its track, or beyond the nearest rail of an adjacent track, must stop before passing the location of the fusee and be governed by the instructions of the employee responsible for the placing of the fusee. After stopping, and if no employee present, the train or engine may proceed not exceeding reduced speed for 3000 yards beyond the location of the fusee.

(b) A fusee should not be placed on a public crossing at grade or where it may cause fire.

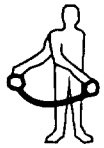
12. HAND SIGNALS

(a) Employees whose duties may require them to give hand signals must have the proper appliances, keep them in good order and ready for immediate use. Night signals must be used from sunset to sunrise and when day signals cannot be plainly seen.

NOTE: The hand or a flag displayed in the same manner as the lantern, which is illustrated in the following diagrams, gives the same indication.

METHOD OF DISPLAY AND INDICATION

(i) Swung from side to side at right angle to the track.



STOP

(ii) Swung in a circle at right angle to the track at a speed in proportion to the speed required.

MOVE BACKWARD

(iii) Raised and lowered at a speed in proportion to the speed required.

MOVE FORWARD

(vii) Any object waved violently by anyone on or near the track is a signal to stop.

(b) A signal given to move forward or move backward must be given in relation to the front of the controlling unit.

(c) A signal must be given in sufficient time before the required action to permit compliance. It must be given from a point where it can be plainly seen, and in such a manner that it cannot be misunderstood. If there is doubt as to the meaning of a signal, or for whom it is intended, it must be regarded as a stop signal.

(d) When switching is being performed, signals shall be given directly to the locomotive engineer, whenever practicable. The conductor is responsible for seeing that trainmen are in proper position to give or relay signals to the locomotive engineer.

(e) When moving under the control of hand signals, the disappearance from view of either the crew member or lights by which signals controlling the movement are being given, must be regarded as a stop signal.

(f) A crew member, whose train or engine is clear of the main track, must not give an approaching train or engine a hand signal to move forward.

13. ENGINE BELL

The engine bell must be rung when:

(i) an engine is about to move;

(ii) passing a train or engine standing on an adjacent track;

(iii) approaching, passing or moving about station facilities or shop track areas; and

(iv) 1/4 of a mile from every public crossing at grade (except within limits as may be prescribed in special instructions) until the crossing is fully occupied by the engine or cars. When engine whistle signal 14 (l) is sounded, the engine bell need not be rung.

13.1. ENGINE BELL FAILURE

Should the engine bell fail on the lead unit, repairs must be made as quickly as possible. If repairs cannot be made the train or engine may proceed to the first point where repairs can be made. The engine bell, if available on another unit in the engine consist, will be rung continuously while moving to the repair point.

14. ENGINE WHISTLE SIGNALS

NOTE:

(i) Wherever the words "engine whistle" appear in these rules they also refer to "engine horn". Signals prescribed by this rule are illustrated by "o" for short sounds; "___" for longer sounds.

(ii) Engine whistle signals must be sounded as prescribed by this rule, and should be distinct, with intensity and duration proportionate to the distance the signal is to be conveyed. Unnecessary use of the whistle is prohibited.

(iii) Radio must not be used in lieu of engine whistle signals for indications prefixed by the symbol (#).

	SOUND	INDICATION
(a)	o	When standing - braking system is equalized; angle cock may be closed.
(b)	o o	(i) Answer to a "stop" signal (except a fixed signal). (ii) Answer to any signal not otherwise provided for. NOTE: (b) not applicable when switching.
(d)	o o o o	Call for signals.
(e)	o o o o o o	To notify track forces of fire on or near the right of way (to be repeated as often as required).
(f)	Succession of short sounds	(#) Alarm for persons or animals on or near the track.
(l)	___ ___ o ___	(#) (i) At every whistle post. (#) (ii) At least 1/4 of a mile from every public crossing at grade, (except within limits as may be prescribed in special instructions) to be prolonged or repeated according to the speed of the movement until the crossing is fully occupied by the engine or cars. (#) (iii) At frequent intervals when view is restricted by weather, curvature or other conditions. (iv) At locations specified in the time table or special instruc-tions, the sounding of the engine whistle, except to prevent an accident, in respect to public crossings at grade is prohibited.

(r) In case of engine whistle failure the engine bell must be rung continuously:

(i) approaching and moving through curves; and

(ii) approaching and passing station facilities, yards and public crossings at grade. In addition, the train or engine must not exceed 25 miles per hour entering each public crossing at grade which is not protected by a watchman, gates or automatic warning devices, until such crossing is fully occupied.

(s) When a movement, not headed by an engine or snow plow, is equipped with a whistle at the leading end, such whistle must be sounded as prescribed by 14 (f) and 14 (l). In addition, all engine whistle signals must be sounded by the locomotive engineer.

(t) When a snow plow is operated ahead of an engine, the snow plow foreman must sound engine whistle signals 14 (f) and 14 (l). All other engine whistle signals must be sounded by the locomotive engineer as prescribed by the rule.

15. SNOW PLOW WHISTLE SIGNALS

(This rule also applies when work equipment is handled by an engine.)

When radio cannot be used, and snow plow whistle signals are used in lieu of voice communications, they will indicate the following to the crew members on the engine.

NOTE: Signals prescribed by this rule are illustrated by "o" for short sounds; "___" for longer sounds.

	SOUND	INDICATION
(a)	o	Stop at once.
(b)	o ___ o	Move forward.
(c)	___ o ___	Move backward.

17. HEADLIGHT

(a) The full power of the headlight must be displayed continuously to the front of every train except as provided in paragraph (b), (c) or (d).

(b) The headlight shall be extinguished when standing clear of the main track or when standing on a yard track.

(c) On an engine so equipped, the headlight shall be dimmed:

(i) approaching or being approached by the front or rear of another train or engine; and

(ii) approaching a station where a stop is to be made, to discharge or receive passengers.

(d) The headlight should be dimmed at night when facing oncoming vehicles which may be affected on adjacent roadways.

EXCEPTION: The full power of the headlight must be used approaching each public crossing at grade until such crossing is fully occupied by the train.

17.1. HEADLIGHT FAILURE

(a) If the headlight on a train fails and repairs cannot be made, the RTC must be notified as quickly as possible. Ditch lights or oscillating headlight in the stationary position, will, when the engine is so equipped, be used in lieu of the headlight and the train may proceed.

(b) If the engine is not equipped with ditch lights or oscillating headlight, such lights as are available must be displayed and the train may proceed to the first point where repairs can be made. It must not exceed 25 MPH entering each public crossing at grade not protected by a watchman, gates or automatic warning devices until the crossing is fully occupied by the train.

17.2. DITCH LIGHTS OR OSCILLATING HEADLIGHT

(a) A train equipped with operating ditch lights or an operating oscillating headlight must have such lights displayed continuously to the front except that;

(i) such lights must be extinguished when the headlight is required to be dimmed or extinguished; and

(ii) ditch lights should be extinguished at night when facing oncoming vehicles on adjacent roadways except when approaching each public crossing at grade until such crossing is fully occupied by the train.

(b) When ditch lights or an oscillating headlight are used as a substitute headlight, they must be extinguished when the headlight is required to be extinguished.

(c) Ditch lights must be extinguished while switching except when used as a substitute headlight.

17.3. ENGINE LIGHTS

(a) A headlight will be displayed at the front and, when so equipped, at the rear of;

(i) an engine separated from its train; and

(ii) an engine in yard or transfer service.

When not so equipped, such engine must display a headlight to the front and a back-up light to the rear. The headlight (back-up light) on the end coupled to cars may be dimmed or extinguished, subject to the provisions of Rules 17 and 17.1.

(b) A train or engine unable to display a headlight in the direction of movement, must not exceed 25 MPH entering each public crossing at grade not protected by a watchman, gates or automatic warning devices, until such crossing is fully occupied by the train or engine.

19. MARKER(S)

One marker, or two markers when so equipped, lighted and/or reflectorized, will display red to the rear of every train by day and by night to mark the rear of the train.

19.1. SUBSTITUTE MARKER

A red flag by day or a red light by night will be displayed to mark the rear of a train not equipped to display markers prescribed by Rule 19.

NOTE: A red reflectorized plaque may be used in lieu of a red flag or light.

26. BLUE SIGNAL PROTECTION

(a) A blue flag by day, and in addition a blue light by night or when day signals cannot be plainly seen, displayed at one or both ends of equipment indicates that workmen are in the vicinity of such equipment. On a track which permits entry of a train or engine from one end only, a blue signal displayed between the equipment and the switch permitting entry indicates that workmen are in the vicinity of such equipment. When such signals are displayed the equipment must not be coupled to or moved. The removal of the signal from one or both ends of equipment indicates that no workmen are in the vicinity of the equipment and such equipment may be coupled to or moved.

(b) Other equipment must not be placed on the same track which will block a clear view of the blue signal(s) without first notifying the workmen. When equipment is placed on the same track, the train or engine placing such equipment must remain on that track until the workmen have relocated the blue signal(s) to include the additional equipment.

(c) Each class of workmen will display the blue signal(s) and the same class of workmen only are authorized to remove them.

(d) Special instructions will govern the use of other approved methods of protecting workmen performing equipment repairs or inspections.

(e) Blue Flag Derails - these derails are used in conjunction with Blue Flags and will be in the derailing position only when protection for personnel is required. When protection is no longer required, the blue flag derails will be locked in a non-derailing position.

26.1. PROTECTION FOR EMERGENCY REPAIR WORK

The locomotive engineer must be notified before emergency repair work is to be undertaken on an engine, or on equipment coupled to an engine if blue signals are not available. When so notified, the locomotive engineer must ensure that no movement is made nor the brakes applied or released until the workmen have moved clear and have advised the locomotive engineer accordingly.

27. SIGNAL IMPERFECTLY DISPLAYED

(a) Except as provided in paragraph (b), a fixed signal which is imperfectly displayed, or the absence of a fixed signal where one is usually displayed, must be regarded as the most restrictive indication that such signal is capable of displaying. An imperfectly displayed signal must be communicated to the proper authority as soon as possible.

(b) Where a block or interlocking signal is observed with one or more lights extinguished, and at least one light remains displaying either green or yellow, trains may proceed reducing to slow speed through turnouts, when practicable, preparing to stop at the next signal.

EXCEPTION: This does not apply to a single yellow displayed at the bottom position of a signal or when a signal is known or suspected as being damaged.

(c) When a block or interlocking signal displays an indication that is in other than normal progression in relationship to the indication on the advance signal to that signal, the RTC or signalman must be notified immediately.

(d) Repairs to damaged signals must not be made by other than authorized employees. Signals which have been knocked over must not be re-erected by other than an authorized employee. If it is known or suspected that a signal bungalow has been damaged, such fact must be reported to the RTC immediately.

34. FIXED SIGNAL RECOGNITION AND COMPLIANCE

(a) The crew on an engine and snow plow foreman must know the indication of each fixed signal (including switches where practicable) before passing it.

(b) Crew members within physical hearing range must communicate to each other, in a clear and audible manner, the indication by name, of each fixed signal they are required to identify. Each signal affecting their train or engine must be called out as soon as it is positively identified, but crew members must watch for and promptly communicate and act on any change of indication which may occur. The following signals/operating signs must be communicated:

Block and interlocking signals;

Rule 42 and 43 signals;

One mile sign to interlockings and non-interlockings;

Stop sign;

OCS begins sign;

Stop signal displayed by a flagman; and

when practicable, a switch not properly lined for the train or engine affected.

(c) If prompt action is not taken to comply with the requirements of each signal indication affecting their train or engine, crew members must remind one another of such requirements. If no action is then taken, or if the locomotive engineer is observed to be incapacitated, other crew members must take immediate action to ensure the safety of the train or engine, including stopping it in emergency if required.

NOTE: The indication of a switch target or light need not be communicated unless it indicates that the switch is not properly lined for the train or engine affected.

35. EMERGENCY PROTECTION

(a) Any employee discovering a hazardous condition which may affect the safe passage of a train or engine must by the use of flags, lights, fusees, radio, telephone, or other means, make every possible effort to stop and/or provide necessary instructions to any train or engine that may be affected. Flag protection must be provided on main track unless or until otherwise relieved of the requirement.

(b) A flagman must go the required distance from the condition, and in each direction when possible, to ensure that an approaching train or engine will have sufficient time and distance to be able to stop before the condition. Unless otherwise provided, a flagman must go at least 3000 yards from the condition to a location where there will be a clear view of the flagman from an approaching train or engine. When a train or engine is observed approaching, the flagman must display a stop signal using a red flag by day or a lighted red fusee by night or when day signals cannot be plainly seen. The flagman must continue to display a stop signal until the movement being flagged has:

(i) acknowledged the stop signal with engine whistle signal 14 (b);

(ii) come to a stop; or

(iii) reached the location of the flagman.

(c) A train or engine stopped by a flagman must not proceed until so instructed by the flagman.

(d) A flagman must be equipped with a red flag and 8 red fusees. The presence of an unbroken seal verifies that the flagging equipment kit is properly supplied.

NOTE: This rule does not authorize main track movement or track work.

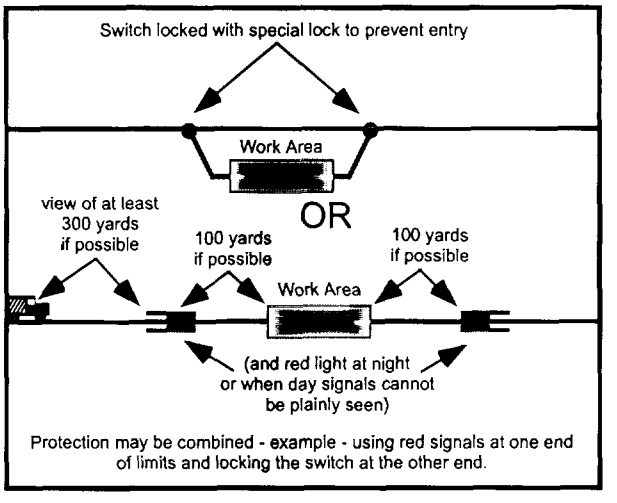
PROTECTION OF IMPASSABLE OR SLOW TRACK

NOTE (i) Wherever the words "General Bulletin Order" (GBO) appear in Rules 42, 43 and 44 they also apply to Daily Operating Bulletin (DOB) and TGBO.

NOTE (ii) Special instructions will specify when Rules 42 and 43 are applicable on other than main track except on signalled sidings and other signalled tracks.

NOTE (iii) When designated by Time Table footnotes or special instructions that TGBO and/or DOB is applicable on non-main track, protection of impassable or slow track may be provided as prescribed by Rules 42 and 43.

40.1. PROTECTION OF TRACK WORK ON NON-MAIN TRACK



NOTE (i) This rule is not applicable on main tracks, signalled sidings and other signalled tracks, or on other tracks specified in special instructions.

NOTE (ii) Before starting any track work on a siding, the RTC must be advised. Before starting any track work on a yard track, the yardmaster, where employed, must be advised.

(a) Before any work is started, which may make the track unsafe for a train or engine movement, track forces or other employees will provide protection as follows:

(i) Each switch must be locked with a special lock in the position which will prevent a train or engine from operating on the portion of track where work is to be performed; or

(ii) Place a red flag by day, and in addition, a red light by night, or when day signals cannot be plainly seen, between the rails in each direction from the working point. When practicable, such signals must be placed at least 100 yards from the working point and where there will be a clear view of them from an approaching train or engine of 300 yards if possible. When there is

equipment on that track which prevents a clear view from an approaching train or engine of 300 yards, the red signals must be placed to include such equipment.

(b) A train or engine approaching a signal prescribed by paragraph (a), clause (ii), must be stopped before passing it and must not proceed beyond such signal until it has been removed. An employee of the same class who placed the red signal may alone remove it, but only when authorized by the foreman.

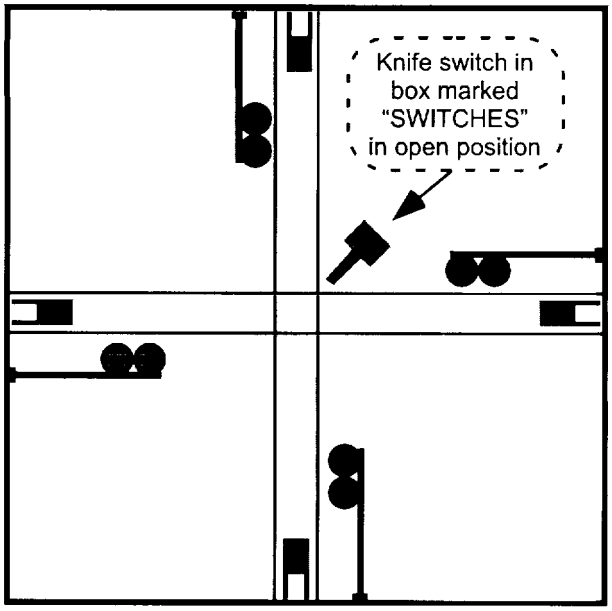
(c) Equipment must not be placed on the track being protected which will block a clear view of the red signals.

GBO - FORM S - MAIN TRACK OUT OF SERVICE

When a foreman has received confirmation in writing that a Form S GBO placing main track out of service is in effect, the impassable main track, between the switches of the siding or other track, may be protected in the manner prescribed by Rule 40.1.

Before the GBO is issued, any derail on such track must be secured in the non-derailing position or removed from the rail.

40.3. PROTECTION OF TRACK WORK AT AUTOMATIC INTERLOCKING



Track work may be performed within the limits of an automatic interlocked railway crossing at grade after protection has been provided as follows:

(i) Permission must be obtained from the RTC of both railways.

(ii) After permission has been obtained, and before any track work is started, the foreman must open the box marked "switches" located at the interlocking, and after opening the switch, must wait 5 minutes or such greater time as may be posted in the box. The switch must be left opened until track work is completed.

(iii) In addition, a red flag must be placed between the rails at each interlocking signal.

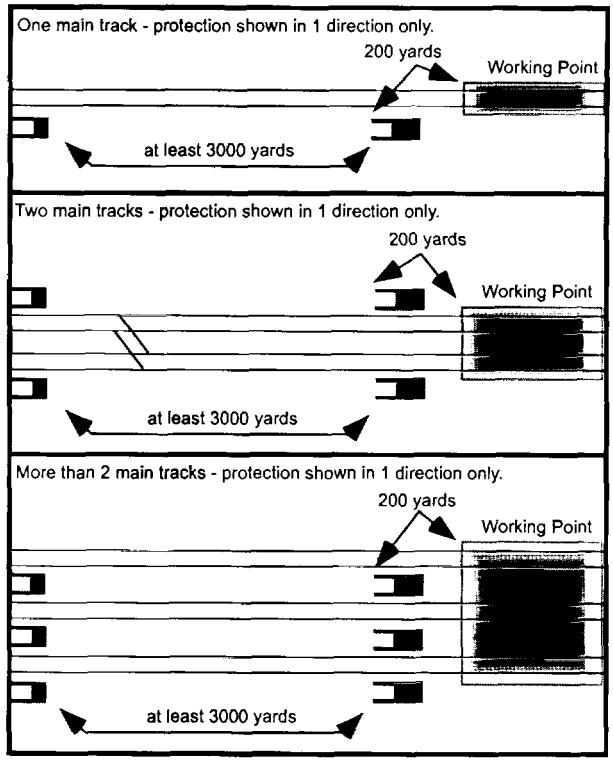
(iv) A train or engine stopped at the entrance of such automatic interlocking must not proceed beyond the red signal until instructions have been received from the foreman and the red flag removed in clear view of the locomotive engineer.

(v) When track work is still ongoing, a train or engine authorized to proceed is therefore relieved of the requirements of Rule 611, except that such movement must be made at restricted speed to the next signal or Block End sign.

(vi) When track work is completed and the train crew is so advised by the foreman, the train or engine will proceed according to the signal indication.

(vii) After track work is completed the RTCs of both railways must be notified.

42. PLANNED PROTECTION



(a) When Form Y protection is required, the request must be in writing and on the prescribed form, when practicable. When protection has been provided, the track and time limits must be confirmed in writing prior to the foreman named in the GBO arranging for the display of the prescribed signals as follows:

(i) Place a red flag at each location stated in the GBO to the right of the track as seen from an approaching train or engine. The defective or working point must not be less than 200 yards inside the track limits defined by the red signals; and

(ii) Place a yellow over red flag at least 3000 yards outside the track limits defined by the red signals, to the right of the track as seen from an approaching train or engine.

(b) A train or engine in possession of the Form Y must not proceed beyond the red signal prescribed by paragraph (a), clause (i), enter the track limits stated in the GBO, or make a reverse movement within such track limits until instructions have been received from the foreman named in the GBO. When a specific track is to be used, instructions from the foreman must specify the track upon which the instructions apply.

When Rule 42 protection is in effect on more than one track as in multitrack or when signalled sidings or other signalled tracks are included in the protection, there must be a clear understanding in writing between the foreman and the RTC as to what route(s) trains are to use. The foreman's instructions to the train or engine must be identical to the routing arrangement with the RTC. Should

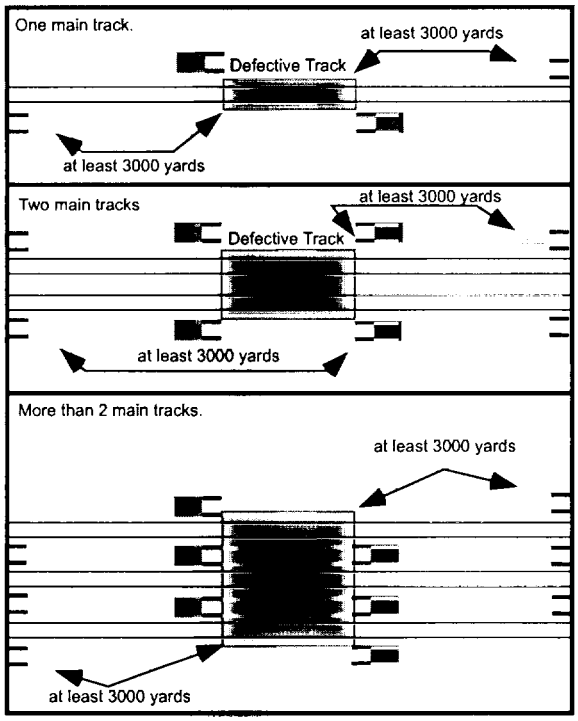
the foreman require the train to move on a specific track when the arrangement with the RTC was for more than one route, he must make a new arrangement with the RTC before authorizing the train.

(c) The instructions must be repeated to, and acknowledged by, the foreman named in the GBO before being acted upon.

(d) Where signalled turnouts, which can provide access to the protected track, are located between the opposing yellow over red signals, the protection must be provided on all main tracks of the subdivision named in the GBO.

(e) Track limits shall be kept as short as practicable and be expressed in whole miles or by other identifiable locations.

43. SLOW TRACK PROTECTION



(a) When the defect does not require a stop to be made, and after GBO protection has been provided, the speed restriction and limits must be confirmed to the foreman in writing who will arrange to:

(i) Place a yellow flag at least 3000 yards in each direction from the defect, to the right of the track as seen from an approaching train or engine; and

(ii) Place a green flag in each direction, immediately beyond the defect, to the right of the track as seen from an approaching train or engine.

(b) A train or engine must not exceed the speed requirement of the GBO while any portion of the train or engine is between the opposing green signals.

(c) When a signalled turnout is within 3000 yards of a speed restriction which does not apply on all tracks, every train or engine must approach such location prepared to comply with the speed restriction until it is known which route is to be used. Where an equilateral turnout is involved, the following must be added to the Form V: "This restriction is within 3000 yards of equilateral turnout at _____."

(d) When construction or maintenance work requires that automatic crossing warning devices be deactivated, the foreman in charge of the work must have positive protection to prevent movements from entering the affected crossing before deactivating the crossing protection devices. Before permitting a train or engine to pass over such crossing, the foreman must either reactivate the crossing protection or advise the RTC that the crossing protection is defective and train and engine movements must be protected.

44. UNUSUAL TRACK SIGNAL CONDITIONS

(a) In the absence of one or more of the signals prescribed by Rule 42, between the times stated in a Form Y, a train or engine must be governed as though the signals are properly placed. Such condition must be communicated to the RTC as quickly as possible.

(b) (i) A train or engine which encounters a yellow over red flag, outside the times stated in the Form Y, may proceed on the instructions received from the foreman named in the GBO. If the foreman cannot be contacted, the train or engine must be prepared to stop at a red flag and, if no red flag is encountered at the location stated in the GBO, the RTC must be advised.

(ii) A train or engine which encounters a red flag, outside the times stated in the Form Y, must stop unless authorized to proceed on the instructions received from the foreman named in the GBO. If the foreman cannot be contacted, the train or engine must communicate with the RTC as quickly as possible and be governed by instructions received. Rule 42 signals must not be in place more than 30 minutes prior to or after the times stated in the GBO unless provided for in the GBO.

(iii) A train or engine which encounters a yellow over red flag or red flag, without being in possession of a Form Y requiring the placement of such signal, must stop. A crew member must communicate with the RTC as quickly as possible and be governed by instructions received.

(c) A train or engine within the track limits of a Form Y, at the time such protection takes effect, must be stopped unless a crew member is otherwise instructed by the foreman named in the GBO.

(d) In the absence of one or more of the signals prescribed by Rule 43, the train or engine will be governed by the requirement of the Form V. Such condition must be communicated to the RTC as quickly as possible.

(e) A train or engine which encounters a yellow or green flag without a GBO requiring the placement of such signal, must reduce speed to 10 MPH and immediately communicate with the RTC. The train or engine will be governed by instructions received from the RTC. If the TGBO/DOB system and the engineering supervisor for the territory indicate that Rule 43 is not or will not be imminently in effect within the limits of the signal, the RTC may authorize the train to resume normal speed. The engineering supervisor will arrange for removal of the signals which may include having the train crew picking up the signals.

(f) The Form Y or Form V must indicate the location of signals which cannot be placed at the distance prescribed by Rule 42 or 43.

(g) When the placement of signals as prescribed by Rule 43 is delayed, the RTC must be advised and the following must be added to the Form V: "Signals may not be in place." The signals must be placed as soon as possible and the GBO changed accordingly.

When signals are not available or have not been placed, the limits of the defective track must be expressed in whole miles or by other identifiable locations. When other than a whole mile is used the identifiable location will be noted in the GBO. In addition, track conditions of 300 feet or less may be marked by a single Rail Break Sign. The regular placement of signals as required by Rule 43 must be utilized after 24 hours if the defect is continuing. EXCEPTION: Spot temporary slow orders applied by the TEST track evaluation car when testing will be indicated at the exact mileage of the defect and may not be identified with a sign or signal.

Rail Break Sign

When a rail break has been detected by engineering personnel and it is safe to operate a train over the break at a speed less than posted speed, the RTC will provide GBO advice to affected trains stating the authorized speed over the break and how such location is marked in the field. The break will be marked by use of a Rail Break Sign or the foreman may be located at the location of the break. Signals required by Rule 43 will not be in place.

45. PROTECTION BOTH DIRECTIONS

In providing protection, each main track must be regarded as a track upon which a train or engine may be operated in either direction.

45.1. SIGNAL PLACEMENT TWO TRACKS

Except on a subdivision designated in special instructions, where 2 main tracks are on the same roadbed, signals required to be placed to the right of the track as seen by the crew of an approaching train or engine under Rules 42 and 43 must be placed to the outside of the track affected and not between the two main tracks.

46. MOUNTING OF SIGNALS

(a) When signals are displayed as prescribed by Rules 40.1 - 43, they will be mounted on staffs and elevated to give an unobstructed view of them as seen by the crew of an approaching train or engine. They will be of the prescribed colour, size and shape.

(b) When a day signal cannot be plainly seen, each flag must be reflectorized or equipped with a reflectorized lens, target or disc, or a reflectorized sign may be used instead. In the application of Rule 40.1, the required light must be displayed.

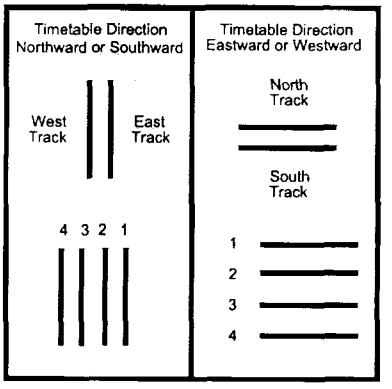
47. PERMISSIBLE SPEED SIGNS

Signs bearing figures indicating permissible speed, placed at the side of the track, will indicate permanent speed restrictions or zone speeds. Such restrictions will be specified in the time table, GBO, DOB or TGBO.

MOVEMENT OF TRAINS AND ENGINES

51. DESIGNATION AND USE OF MAIN TRACKS

(a) Where two main tracks are in service, unless otherwise directed by time table or special instructions, they must be designated as;



(b) Where more than two main tracks are in service they must be numbered. Unless otherwise specified in the time table, where time table directions are eastward and westward, tracks will be numbered from the north as, "No 1 track", "No 2 track" and so on; where time table directions are northward and southward, tracks will be numbered from the east as, "No 1 track", "No 2 track", and so on.

83. OPERATING BULLETINS

(a) Operating bulletins will be issued by the proper authority and in the prescribed format. They will be posted in a book provided for that purpose at stations or other locations designated in the time table, GBO or operating bulletins. Operating bulletins will only contain information or instructions pertaining to the movement of trains and engines. They will be numbered consecutively, beginning on the first day of each year.

(b) Employees responsible for the placement of operating bulletins must post them in the book provided for that purpose immediately after they are received. They must record on each bulletin the time and date it is posted in the book.

(c) A monthly operating bulletin, containing the number, date and contents of, or reference to, each operating bulletin remaining in effect, will be issued the first of each month. Operating bulletins of a previous date, which are not included or referred to in the monthly reissue, become void. Monthly operating bulletins will not be posted in bulletin books. All employees responsible for the operation or supervision of trains and engines or track units or the protection of track work must have a copy of the current monthly operating bulletin accessible while on duty.

(d) Before commencing work at a station or location where operating bulletins are posted, every yardmaster, locomotive engineer, conductor and trainman must have read, understood and signed the operating bulletins.

(e) Operating employees going on duty in VIA Rail service are required to read and sign Via Rail Notices.

(f) **WEEKLY OPERATING BULLETIN (WOB) -** Special Instructions will indicate where WOB are applicable. When so instructed, Rule 83 (a) to (d) inclusive are not applicable at that location and employees are governed by the following:

(i) WOB - a listing and or copy of all operating bulletins in effect for a specific territory.

(ii) WOB will be effective at the time indicated and remain in effect for 7 days.

(iii) WOB must be accessible to all employees affected by the movement of trains or engines while on duty.

(iv) Employees must review the WOB after it has been received.

(v) WOB must be retained when going off duty for use in additional tours of duty that week.

84. STARTING A TRAIN OR ENGINE

A train or engine must not commence movement until the proper signal or instruction is received by the locomotive engineer from a crew member.

85. REPORTING DELAYS

The conductor of each train will ensure that the RTC is promptly advised of any known condition which may delay the train.

90. COMMUNICATION BETWEEN CREW MEMBERS

(a) When a crew member is located on other than the engine of a train and communication is possible, such crew member must voice communicate with a crew member on the engine between one and three miles from every point at which the train is;

(i) restricted by the clearance;
(ii) to diverge from a main track when so instructed;
(iii) restricted by Form Y;
(v) to move over a drawbridge or railway crossing at grade;
(vi) approaching a controlled location on single track;
(vii) approaching a controlled location in multitrack, where so specified in special instructions; or
(viii) approaching other locations specified in special instructions.

(b) If a crew member on the engine fails to acknowledge the communication, the train must be stopped before it reaches the controlled location, interlocking or point of restriction.

92. SNOW PLOW PROHIBITED

A train carrying passengers must not be used to operate a snow plow.

101. PROTECTION AGAINST EXTRAORDINARY CONDITIONS

(a) A train or engine must be fully protected against any known or suspected condition which may interfere with its safe passage.

(b) A train or engine must stop at once and be fully inspected when it is known or suspected to have struck any object which may interfere with its safe operation. The RTC must be notified as quickly as possible.

(c) When a portion of a train is left on the main track, precautions must be taken by the crew to protect the remaining portion against the returning movement.

(d) When switching is performed, precautions must be taken by crew members to prevent unintended rollbacks or the unintended fouling of other tracks and equipment.

101.2. EQUIPMENT LEFT ON MAIN TRACK

Equipment may be left on the main track under the following conditions:

- when protected by clearance; or
- when protection has been provided by GBO, TGBO or DOB.

Communication to the RTC must include the location of the equipment and the outer limits of the Form T protection must be expressed in whole miles or by other identifiable location.

NOTE (i): In CTC and controlled interlockings, once the RTC has been advised, GBO, TGBO or DOB protection need not be provided. The RTC must inform each train or engine, required to enter the occupied track, of the location of the unattended equipment.

NOTE (ii): The crew of a train or engine advised verbally or by GBO, TGBO or DOB of unattended or derailed equipment occupying the main track must stop before entering the limits and then proceed prepared to stop short of such equipment.

102. EMERGENCY STOP PROTECTION

(a) The crew of a train or engine stopping as a result of an emergency brake application, or other abnormal condition, which may cause an adjacent main track to be obstructed, must:

(i) immediately transmit a radio broadcast on the standby channel in the following manner:

> **EMERGENCY, EMERGENCY, EMERGENCY**
> _____ **ON** _____ **TRACK**
> (TRAIN OR ENGINE) (DESIGNATED)
> **STOPPED (STOPPING) IN EMERGENCY**
> **BETWEEN MILE** _____ **AND MILE** _____
> _____ **SUBDIVISION**

(ii) as soon as possible, advise the RTC of train or engine number, emergency stop location, indicating whether adjacent tracks and tracks of other railways are liable to be obstructed;

(iii) repeat the emergency broadcast outlined in (i) at intervals not exceeding 90 seconds until advised by the RTC that all affected trains or engines on other tracks have been secured, stopped or advised of the emergency stop, or it is known that adjacent tracks or tracks of other railways are safe and clear for the movement of trains or engines;

(iv) if unable to comply with (i), (ii), (iii), the adjacent track must be protected as per Rule 35(b) EMERGENCY PROTECTION.

NOTE: When tracks of other railways may be obstructed the emergency radio broadcast must be transmitted on their standby channel if practicable.

(b) Other trains or engines must;

(i) stop at once if closely approaching the location stated in the emergency broadcast; or

(ii) stop prior to reaching the location stated in the emergency broadcast; and

(iii) after stop has been made, proceed prepared to stop short of an obstruction until it is known that the track is safe and clear for the movement of trains or engines.

(c) The RTC must:

(i) immediately secure and advise affected trains or engines on other tracks of the location of the train or engine in an emergency stop;

(ii) by use of a dedicated emergency communication system, alert the RTC controlling adjacent tracks of other railways liable to be obstructed, providing the location of the emergency stop, and request that the other RTC advise trains or engines on adjacent tracks the location of the train or engine in emergency stop; and

(iii) advise the crew of the train or engine involved in the emergency stop when all other affected trains and engines have been advised of the condition.

103. PUBLIC CROSSINGS AT GRADE

(a) When cars not headed by an engine are moving along a public road not protected by a fence or other barrier a crew member must be on the leading car, or on the ground, in a position to warn persons standing on, or crossing, or about to cross the track.

(b) When cars not headed by an engine, snow plow or other equipment equipped with a whistle and headlight, are moving over a public crossing at grade not protected by a watchman or gates, a crew member must provide manual protection of the crossing.

EXCEPTION: Manual protection of the crossing is not required provided the crossing is equipped with automatic warning devices and a crew member is on the leading car to warn persons standing on, or crossing, or about to cross the track. This exception does not modify the application of Rule 103.1 (a).

(c) No part of a train or engine may be allowed to stand on any part of a public crossing at grade, for a longer period than 5 minutes, when vehicular or pedestrian traffic requires passage. Switching operations at such crossing, must not obstruct vehicular or pedestrian traffic for a longer period than 5 minutes at a time. When emergency vehicles require passage, employees must cooperate to clear public crossings at grade and private crossings as quickly as possible.

(d) Equipment must not be left standing within 100 feet of the travelled portion of a public or private crossing at grade, except where it is necessary to leave such equipment for loading or unloading.

At those locations where "Cars Prohibited Beyond This Point" operating sign is located next to a public or private crossing at grade, cars set off for storage must not be placed between the operating sign and the public or private railway crossing at grade.

(e) Before making a switching movement over an unprotected public crossing at grade where the locomotive engineer's view of the crossing is obscured, arrangements must be made for a crew member to be in position to observe the crossing and give signals and instructions to the locomotive engineer as necessary.

(f) Where special instructions require that train or engine movements over certain public crossings at grade be protected by a crew member providing manual protection of the crossings, such protection must be provided until the crossing is fully occupied.

(g) When providing manual protection of a crossing, a crew member must be on the ground ahead of the train or engine, in a position to stop vehicular and pedestrian traffic before the train or engine enters the crossing. A hand signal by day, and a red light or a lighted red fusee by night, will be used to give a signal to stop the movement of vehicular and pedestrian traffic over such crossing. The train or engine must not enter the crossing

until a signal to enter the crossing has been received from the crew member providing the manual protection. Crew members must not give a proceed signal to vehicles to pass over a crossing.

(h) When non-automatic warning devices such as "cross-bucks" are defective or damaged, the RTC must be notified immediately who in turn will advise the engineering supervisor for the territory to affect the necessary repairs. In addition GBO and/or operating bulletin advise must be issued to all affected trains and engines as follows: "Crossing warning signs damaged (missing) at public crossing at grade Mile ___ ____ Sub. This crossing must be manually protected unless it is seen to be clear of vehicular and pedestrian traffic".

103.1. PUBLIC CROSSINGS AT GRADE WITH WARNING DEVICES

(a) When a train or engine passes over any public crossing at grade, equipped with automatic warning devices, it will be necessary, before making a reverse movement over the crossing, for a crew member to provide manual protection of the crossing.

(b) Unless otherwise directed by special instructions, a main track train or engine movement over a public crossing at grade, equipped with automatic warning devices, must not exceed 10 MPH from a distance of 300 feet from the crossing until the crossing is fully occupied by the movement which;

(i) has stopped or is switching, on the main track in the vicinity of the crossing;

(ii) is entering the main track in the vicinity of the crossing; or

(iii) has been authorized to pass a block or interlocking signal indicating Stop which governs the block that includes such crossing(s).

NOTE: Such movement must not occupy the crossing or resume authorized speed until the warning devices have been operating for at least 20 seconds. Movements governed by clause (i) and (ii) or approaching a crossing within 300 feet of a stop signal MUST NOT exceed 10 mph until the crossing is occupied.

(c) Unless otherwise directed by special instructions, a train or engine movement on other than the main track over a public crossing at grade, equipped with automatic warning devices, must not exceed 10 MPH from a distance of 300 feet until the crossing is fully occupied by the movement.

(d) At a public crossing at grade where special instructions require that warning devices be operated by pushbutton, or other appliances, or that train or engine movements stop at stop signs, such movements affected must not obstruct the crossing until the warning devices have been operating for at least 20 seconds. Push button boxes must be closed and locked when not in use.

(e) Equipment must not be allowed to stand so as to cause the unnecessary operation of warning devices.

(f) When advised by special instructions that rusty rail conditions may exist, movements over crossings with automatic warning devices within these limits, must be manually protected unless or until it is known that warning devices have been operating for at least 20 seconds.

Definitions:

CROSSOVER - A track joining adjacent main tracks. The switches at both ends of a crossover are normal when set for through movements on the other tracks.

DUAL CONTROL SWITCH - A switch equipped for powered operation, also equipped for hand operation. Most dual control switches operated in "power" position are remotely operated by the RTC or signalman. Locally Controlled switches are operated by push buttons located at the switch location or by Radio control codes and are usually self restoring switches.

POWER-OPERATED SWITCH - A switch equipped for powered operation, but not equipped for hand operation.

ROUTE - The track a train or engine will use in passing from one location to another.

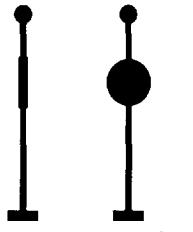
SEMI-AUTOMATIC SWITCH - A yard switch equipped with a mechanism which permits an engine to trail through the switch points thus setting the switch for the route being used.

SPRING SWITCH - A switch equipped with a spring mechanism arranged to restore the switch points to normal position after having been trailed through.

104. HAND OPERATED SWITCHES

NOTE: QUALIFICATION TO HANDLE MAIN TRACK SWITCHES - Employees are not permitted to handle a main track switch unless they have passed the required examination in the Canadian Rail Operating Rules and are in possession of a valid certificate of rules qualification.

(a) Unless otherwise specified by special instructions, the normal position for a main track switch is for main track movement. Except as provided in paragraph (b), main track switches must be left lined and locked in normal position. A main track hand operated switch must display a reflectorized target, or light and target, to indicate the following:



NORMAL POSITION REVERSE POSITION

EXCEPTION: A light or reflectorized target need not be maintained on a main track switch in CTC or on a subdivision specified in special instructions.

(b) A main track switch may be left in the reversed position when:

1. Directed by GBO, clearance or special instructions, and protection has been provided against all affected trains and engines.
2. Attended by an employee, who must be in position to restore the switch to normal position before it is occupied by an approaching train or engine on the main track.
3. Occupied by equipment.
5. In OCS:
   i. equipment is left on the main track,
   ii. the equipment is left as close as possible to the switch, and
   iii. movement over the same switch is required when returning to such equipment.
6. In CTC, equipment is left within the same controlled block. When this cannot be done, RTC permission must be obtained.

NOTE (i): Except when switching, main track switches when left in the reverse position, must be left locked.

NOTE (ii): **RESTORING SWITCHES** - An employee encountering an unattended hand operated main track switch in the reverse position must restore it to normal position unless authorized to leave it in reverse position or so instructed by the RTC.

NOTE (iii): **RTC NOTIFICATION** - An employee who normals a main track hand operated switch that was encountered in reverse position, or encounters a switch in normal position for which they have received a warning that it may be encountered in the reverse position, must report this to the RTC as soon as practicable as follows:

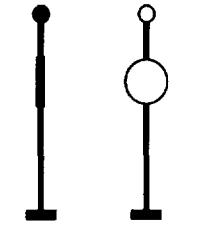
"5263 West, restored siding west switch Baker to normal position." or,

"Foreman Johnson, restored siding west switch Baker to normal position."

When possible the report to the RTC should be made from the location of the switch to provide for the switch to be restored to normal within the RTC system.

NOTE: The RTC must not act on any information received concerning a hand operated switch restored to normal position unless such information is received from the location of the switch. Additionally, the RTC must not remove protection for the reverse switch until it can be confirmed that there are no other movements authorized to leave the switch in the reverse position.

(c) Unless otherwise specified in special instructions, switches other than main track switches, when equipped with a lock, must be lined in normal position and locked after having been used. When equipped with a target, light or reflector it will indicate the following:



NORMAL POSITION REVERSE POSITION

(d) The employee handling a main track hand operated switch in non-signalled territory must, from the location of the switch, communicate with another rules qualified employee to confirm the position in which the switch has been left, lined and locked. The employee receiving this report must repeat it back to the employee who handled the switch. Communication may be achieved by personal contact, radio or telephone.

(e) Except while being turned, each switch must be secured with an approved device.

(f) When a switch has been turned, the points must be examined and the target, reflector or light, if any, observed to ensure that the switch is properly lined.

(g) A switch must not be turned while any part of a car or engine is between the switch points and the fouling point of the track to be used, except when making a running switch or in the application of the exception to Rule 104 (k).

(h) Except when switching, when a train is closely approaching or passing over a main track switch, other than a dual control switch, employees must keep at least 20 feet from the switch stand, and must, when practicable, on single track, stand on the opposite side of the track.

(i) On single track, a crew member of a train stopped on the main track to meet or to be passed by another train, will, when practicable, reverse the switch for the approaching train and protect it unless relieved by a crew member of the other train.

(j) If it is known or suspected that either of the points or any part of a switch is damaged or broken, the switch must be protected until it can be made safe for use. A report must be made to the RTC or yardmaster as quickly as possible.

(k) A train or engine must not foul a track until the switches connected with the movement are properly lined, or in the case of semi-automatic or spring switches, the conflicting route is seen or known to be clear.

EXCEPTION: A movement may foul a track connected by a hand operated switch provided that:

(i) neither the track occupied nor the track to be fouled are main tracks;

(ii) the conflicting route is seen or known to be clear; and

(iii) the switch is properly lined before the movement passes over it.

(l) Unless otherwise directed by special instructions;

(i) the normal position for a main track switch at the end of two tracks is when such switch is set for a train or engine leaving single for two tracks to operate to the right;

(ii) the normal position for a main track junction switch is when such switch is set for a train or engine to operate as a through movement on one subdivision.

(m) When a train or engine diverges from a main track, the switch used must not be restored to its normal position until the movement has cleared the fouling point.

(n) When a crossover is to be used, the switch in the track on which the train or engine is standing must be reversed first. Both switches must be reversed before a crossover movement is commenced and the movement must be completed before either switch is restored to normal position.

(o) When a switch point lock is provided, it must be locked when the switch is left in normal position. Employees must familiarize themselves with the location of switch point locks.

(p) At an electrically-locked hand operated switch, instructions posted at the switch or in special instructions, will govern the operation of the switch and entry to the main track or interlocking route.

(q) Unless or until the switch is seen to be in normal position, trains and engines approaching a main track hand operated switch in a facing point direction in OCS territory, unless otherwise governed by signal indication, must not exceed the following speeds from one-quarter of a mile of the switch:

PASSENGER	50 MPH
FREIGHT	45 MPH
FREIGHT*	40 MPH

*(handling Special Dangerous Commodities)

98.1. SPEED THROUGH TURNOUTS

Speed through a turnout must not exceed 15 MPH unless otherwise provided by signal indication, special instructions, GBO, TGBO or DOB.

104.1. SPRING SWITCHES

(a) A spring switch will be identified by a spring switch sign bearing the letters "SS".

(b) When a spring switch is operated by hand, the rules governing hand operated switches apply.

(c) When a trailing movement is stopped before it has entirely passed through a spring switch, the movement must not be reversed, nor slack taken, until the switch has been properly set by hand.

(d) When a train or engine is required to operate at restricted speed, or is stopped by a fixed signal governing movement over a spring switch in the facing point direction, the points must be examined from a position on the ground. If there is no signal governing movement in the facing point direction, stop must be made before the leading wheels have moved onto the switch points and the points examined from a position on the ground. If the points are found to be properly closed the train or engine will be governed by the indication of the signal, if any. If the switch points are not properly closed and cannot be closed by use of the switch handle, the points must be spiked in the proper position and the train or engine will be governed by the indication of the signal, if any. After movement over a spiked spring switch has been made, the spike must be removed and the RTC or employee in charge notified as quickly as possible.

NOTE: When necessary to manually operate a spring switch, the employee must keep clear of the switch handle while it is being lifted or released.

(e) When ice or snow conditions warrant, all movements must stop before making a trailing movement through a spring switch and examine switch points, cleaning same if necessary.

104.2. DUAL CONTROL SWITCHES

(a) When a dual control switch is operated by hand, the rules governing hand operated switches apply.

(b) Except as required by rule, a dual control switch must not be placed in "hand" position without permission from the RTC or signalman.

(c) When a train or engine is required to move over a dual control switch under a Stop indication, unless relieved of the responsibility by the RTC or signalman, movement must not be made until;

(i) the selector lever is placed in "hand" position;

(ii) the hand throw lever is operated until the switch points move in both directions with the movement of the hand throw lever; and

(iii) the switch is lined by hand for the route to be used.

The selector lever must be restored to "power" position and locked, but not before the movement has occupied the switch points.

(d) The RTC or signalman must not relieve a crew of the requirements of paragraph (c) until it has been determined, from the office control devices and indications, that dual control switches in the route to be used are properly lined. When so relieved, a crew member must observe that switch points are lined for the authorized route.

(e) When switching is to be performed over a dual control switch, in conjunction with Rule 566.1, the switch may be operated by hand after authority has been obtained as prescribed by Rule 566 or 567. The selector lever must be placed in "hand" position. The hand throw lever must be operated until the switch points move in both directions with

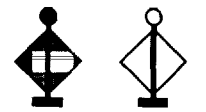
the movement of the hand throw lever. The selector lever must be left in "hand" position until switching is completed. The RTC must be advised when the selector lever has been restored to the "power" position and locked.

104.3. POWER-OPERATED SWITCHES AT A STOP SIGNAL

When the crew of a train or engine is authorized to pass a stop signal to move over a power operated switch, a crew member must observe that the switch points are lined for the authorized route.

104.4. SEMI-AUTOMATIC SWITCHES

(a) A semi-automatic switch will be equipped with a reflectorized target to indicate the following:



Set for Normal Position | **Set for other than Normal Position**

(b) When a semi-automatic switch is operated by hand, the rules governing hand operated switches apply.

(c) After coupling to equipment at a semi-automatic switch, or when reversing direction through such switch, a facing point movement must not be made, unless one unit of equipment has trailed entirely through the switch, or it is known that the points are properly lined for the movement.

(d) When ice or snow may affect the ability of the switch points on a semi-automatic switch to close properly when operated by wheel flange, a member of the crew must manually line the switch and ensure the points are properly lined before a trailing movement is commenced over the switch. Facing point movements must observe the position of the points in addition to the target indication before proceeding over a semiautomatic switch.

104.5. DERAILS

(a) The location of each derail will be marked by a sign, unless otherwise directed by special instructions. Employees must be familiar with the location of each derail.

(b) A train, engine or track unit must stop short of a derail set in the derailing position.

(c) Each derail must be left in the derailing position. When so authorized by special instructions, a derail on a main track, siding or spur may be designated as an EXCEPTION derail and left in the non-derailing position when stored equipment is not present.

EXCEPTION DERAILS - Equipment to be left must be coupled together. When such track is clear of equipment the derail MUST be left in the NON-DERAILING position and secured with a lock. Crews setting out or lifting equipment are responsible for ensuring proper positioning of the derail(s) on completion of work at such location. These EXCEPTION DERAILS will be switch stand operated and be identified in the field with a reflective red letter "D" on a reflective yellow target, visible when in the derailing position. On signalled track, when EXCEPTION DERAILS are in derailing position they will affect the signal system even if no equipment is present. Trains and engines required to move at RESTRICTED SPEED on a track where an EXCEPTION DERAIL is located must in addition to the requirements of moving at RESTRICTED SPEED, approach such derail prepared to find it in the derailing position.

(d) Derails must be left secured with a locking device.

105. SPEED ON NON-MAIN TRACK

Unless otherwise provided by signal indication, a train or engine using other than a main track must operate at reduced speed and be prepared to stop short of the red flag or the red light prescribed by Rule 40.1. This rule does not apply on a track specified in special instructions.

In addition:

(a) A train or engine using a non-signalled siding or using other tracks so designated in special instructions must be prepared to stop within 1/2 the range of vision of a track unit.

(b) In CTC, train and engine movements may only enter a siding by signal indication or with permission from the RTC.

(c) Unless otherwise provided by signal indication or special instructions, movements operating on other than main tracks must not exceed 15 MPH.

NON-MAIN TRACK				Rule 105
DOB &/or TGBO	Speeds	Protection for Track Work	Protection for Track Units	Protection for Equipment
Only as required by SI	Reduced speed and SI	Rule 40.1 or SI	Rule 105 (a) or SI	Reduced speed protects equipment
Note: Special Instructions may designate Non-Main Track as Controlled Non-Main Track identifying specific rules or instructions that are applicable				

105.1. EQUIPMENT LEFT ON SIDING

When equipment is left on a siding the RTC must be advised. The RTC will notify trains affected as soon as practicable. This rule does not apply on a subdivision or at a location specified in special instructions.

105.2. OCCUPIED SERVICE EQUIPMENT

When occupied service equipment is placed on a siding, a GBO, DOB or TGBO will be issued specifying the location of such equipment. If the switches of the siding are locked with special locks, the GBO, DOB or TGBO will so state.

106. CREW RESPONSIBILITIES

(a) A train will run under the direction of its conductor.

(b) The locomotive engineer of a train is in charge of and responsible for the operation of the engine of such train.

(c) When a train is operated without a conductor, the locomotive engineer will perform the duties of the conductor.

(d) The conductor and locomotive engineer, (also pilot if any) are responsible for the safe operation of the train or equipment in their charge and for the observance of the rules. Under conditions not provided for by the rules, they must take every precaution for protection. Other crew members are not relieved of their responsibility under the rules.

107. RESTRICTIONS AT PASSENGER TRAIN STOPS

(a) Unless otherwise directed by special instructions, a train or engine must move with extreme care when moving along side a train carrying passengers which is discharging or receiving traffic. They must not pass between such train and the station or platform, unless the movement is properly protected.

(b) When practicable, the RTC must advise other trains affected (and engines affected in CTC) when a train carrying passengers is to make an unscheduled stop for the purpose of discharging or receiving traffic.

(c) Unless advice is received in writing that other trains (and engines affected in CTC) are advised of the stop, the crew of the train making the unscheduled stop must protect their traffic from other movements.

109. SNOW REMOVAL RESTRICTIONS

When snow removal equipment is being operated, points must be raised, wings closed and slow speed must not be exceeded when meeting or passing a train on an adjacent track, or passing a structure which is liable to be damaged.

110. INSPECTING PASSING TRAINS

(This rule also applies to an engine in transfer service)

(a) When duties and terrain permit, at least two crew members of a standing train and other employees at wayside must position themselves on the ground on both sides of the track to inspect the condition of equipment in passing trains. When performing a train inspection, the locomotive engineer will inspect the near side of such train. When a group of wayside employees is present, at least two employees must inspect the passing train.

(b) Employees inspecting the condition of equipment in a passing freight train must, when possible, communicate the results of the inspection to a crew member of such train.

(c) When a dangerous condition is detected in any train being inspected, every effort must be made to stop the train. Each crew member of a train must be alert at all times for a stop signal given by an employee. The report to the train being inspected must state only the location of the dangerous condition and what was observed.

(d) When a crew member is located at the rear of a train, a front crew member must, when practicable, notify the rear crew member of the location of employees in position to inspect their train.

EXCEPTION: Crew members of passenger trains are exempted from the above requirements except when standing at meeting points in single track territory. However, every effort must be made to stop a train when a dangerous condition is noted.

111. TRAIN INSPECTION

(This rule also applies to an engine in transfer service)

(a) The train and engine crew must know that equipment in their train is in good order before starting and inspect it whenever they have an opportunity to do so. Equipment added to a train enroute must be examined with extra care to ensure it is in good order.

(b) When crew members are on the rear of a moving train they must inspect, at every opportunity, the track to the rear for evidence of dragging or derailed equipment.

(c) All crew members on a moving train must make frequent inspections of both sides of their train to ensure that it is in order.

(d) On completion of crew-planned train inspections and at locations where inspection is required by special instructions, crew members will, when possible, voice communicate to each other the results of such inspections.

112. SECURING EQUIPMENT

Unless otherwise directed by special instructions, a sufficient number of hand brakes must be applied on equipment left at any point to prevent it from moving. If left on a siding, it must be coupled to other equipment, if any, on such track unless it is necessary to separate such equipment at a public crossing at grade or elsewhere.

(i) Before relying on the retarding force of the handbrake, whether leaving equipment or riding equipment to rest, the effectiveness of the handbrake must be tested by fully applying the handbrake and moving the car, or cut of cars slightly to ensure the required minimum handbrake application applies the retarding force necessary to prevent equipment from moving.

(ii) Unless otherwise provided, the following chart indicates the minimum number of handbrakes that must be fully applied to secure equipment (even when such equipment is left secured by a full application of the air brakes):

Minimum Handbrake Application			
1	car	1	handbrake
2-19	cars	2	handbrakes
20-29	cars	3	handbrakes
30-39	cars	4	handbrakes
40-49	cars	5	handbrakes
50-59	cars	6	handbrakes
60-69	cars	7	handbrakes
70-79	cars	8	handbrakes
80-89	cars	9	handbrakes
90 +	cars	10	handbrakes

Specific track(s) may be designated by special instructions as not requiring the application of hand brakes or, requiring application of a specific number of handbrakes.

(iii) The brake piston on cars on which handbrakes are to be applied must be released before handbrakes are applied.

(iv) Unattended trains with locomotive(s) attached are exempt from handbrake requirements provided:
(a) the locomotive controlling the air brake system is left running;
(b) brake pipe continuity is present through the train;
(c) a full service application is made;
(d) the independent brake and handbrake is applied on the lead locomotive.

(v) While enroute switching, setoff or lift is being performed, that portion of the train that isn't being set off may remain on the main track or siding without handbrakes applied if such portion:
(a) is 10 cars or more,
(b) has air brakes applied in full service or emergency,
(c) has angle cock fully opened,
(d) is not on a grade in excess of 1.5%; and
(e) will not be left in excess of 2 hours.

Notes:
(1) Application of handbrakes must not be made while equipment is being pulled or pushed by an engine.
(2) Where practicable handbrakes should be applied on the low or downgrade end of a track.
(3) Cuts of cars not coupled to each other cut, must be each individually secured as required by this rule.
(4) Handbrakes should be applied consecutively on each cut/block of cars.
(5) Handbrakes must be fully applied and with a force equal to the normal physical capability of the employee required to perform the duty.
(6) A locomotive or locomotive consists not coupled to other equipment must be left as follows:
Locomotive(s) left unattended and running:
- 1 handbrake
Locomotive(s) left unattended and shut down:
1 locomotive - 1 handbrake
2+ locomotives - 2 handbrakes
This instructions even applies when in a "no handbrake required" zone.

113. COUPLING TO EQUIPMENT

(a) Before coupling to equipment at any point, care must be taken to ensure that such equipment is properly secured.

(b) Before coupling to or moving equipment being loaded or unloaded, all persons in or about such equipment must be notified. Vehicles and loading or unloading devices must be clear.

(c) Before coupling to or moving service equipment, employees occupying such equipment must be notified and attachments secured.

(d) To prevent damage to equipment and/or lading when coupling to equipment, a speed exceeding 4 MPH at the time of coupling should be avoided.

(e) When coupling to equipment for any purpose except when humping or flat switching where cars are intentionally let run free, the coupling must be stretched to ensure it is secure.

(f) To prevent by-pass couplers when coupling to equipment on other than tangent track, a stop must be made not less than 6 nor greater than 12 feet from the joint and extreme caution must then be used, ensuring couplers are properly aligned prior to coupling being made.

114. FOULING OTHER TRACKS

(a) Equipment must not be moved foul of another track unless the movement is properly protected.

(b) Equipment must not be left foul of a connecting track unless the switch is left lined for the track upon which such equipment is standing.

115. PUSHING EQUIPMENT

(a) When equipment is pushed by an engine, a crew member must be on the leading car or on the ground, in a position to observe the track to be used and to give signals or instructions necessary to control the movement.

EXCEPTION: A crew member need not be so positioned when the portion of the track to be used is seen or known to be clear. However, the movement must not approach to within 100 feet of any public, private or farm crossing unless such crossings are protected as described in Rule 103 paragraph (b) or (g).

(b) On MAIN TRACK, when equipment is pushed by an engine, unless protected by a crew member as described in paragraph (a), the movement must:

(ii) NOT exceed the overall length of the equipment; and

(iii) NOT exceed 15 MPH.

(c) Seen or known to be clear is defined as seeing the portion of the track to be used as being clear and remaining clear of equipment and as having sufficient room to contain equipment being pushed. This determination must be made by a crew member, yard supervisor or other qualified employee who can observe the track and has radio contact with the employee controlling the movement. Where a track that has been seen to be clear, and no access to that track is possible by another movement, the track may be considered as "known to be clear". NOTE: When it can be determined that other movements are not on duty or not performing work in the track to be used, the requirement of "known to be clear" can be considered to be fulfilled continuously.

(d) When making a back up movement with a locomotive consist and visibility is restricted, a member of the crew must be on the lead locomotive in direction of movement and in position

from which signals necessary to the movement can be properly given, unless the route is seen or known to be clear.

116. RUNNING SWITCH

Before making a running switch, crew members affected must understand the movement to be made. It must be known that the switch and hand brakes are in working order before the movement is commenced. A running switch must not be made;

(i) with or onto occupied equipment, or equipment placarded to indicate it contains or contained dangerous goods;

(ii) where the switch to be used is a dual control, power-operated or spring switch; or

(iii) within interlocking limits of a drawbridge or railway crossing at grade.

A minimum of 3 qualified employees must be utilized when performing a running switch. A gravity drop switch may be made with less than 3 qualified employees.

RADIO

117. RELIABILITY TESTS

The crew of a train or engine when equipped with radios must carry out an intra-crew test of such radios before leaving their initial terminal, change-off or starting point. When a train or engine is equipped with a single radio, it must be voice tested as soon as practicable after the crew commences duty.

118. REPLACEMENT OF DEFECTIVE RADIOS

(a) A portable radio which is defective must be turned in for repairs as soon as practicable. A mobile radio which is defective must be exchanged for a working radio as soon as practicable.

(b) The employee discovering a radio which is defective must attach thereto a tag indicating the apparent nature of the defect.

119. CONTINUOUS MONITORING

(a) When not being used to transmit or receive a communication, mobile radio receivers (and portable receivers when practicable) must be set to the appropriate standby channel and at a volume which will ensure continuous monitoring.

(b) The volume of a radio receiver should be kept at a level which will avoid annoyance to the public in passenger cars and station facilities.

120. RADIO TERMS

In radio communication the following terms when used will denote:

"STAND BY" - Monitor this channel for my next transmission.

"OVER" - Transmission is ended and a response is expected.

"OUT" - Transmission is ended and no response is expected.

121. POSITIVE IDENTIFICATION Revision

(a) The person initiating a radio communication and the responding party must establish positive identification.

The initial call must commence with the company initials of the person being called. e.g. "*CP Foreman Jones, RTC Toronto, over*" or "*CN RTC Edmonton, this is 5263 West, over*". In addition, when a non CN person is calling on the CN channels, they must use their company's initials to identify themselves within the initial transmission. e.g. "CN RTC Montreal, this is VIA 56, over".

(b) The person initiating the radio communication must end the initial call with the spoken word, "OVER."

(c) Each party to a radio communication must end their final transmission with the spoken word "OUT."

122. CONTENT OF RADIO COMMUNICATIONS

Radio communications must be brief and to the point and contain only essential instructions or information. All radio transmissions shall be restricted to matters pertaining to railway operations.

123. VERIFICATION PROCEDURES

(a) When GBO, clearances, other authorities or instructions, required to be in writing, are received by radio, they must be verified by the procedures prescribed by their specific rules.

(b) When necessary, a repetition, acknowledgement or other response required from a crew member may be checked and confirmed to the RTC by another crew member.

(c) When verbal instructions or information pertaining to a train or engine movement, are received by radio, such information must be repeated to the sender.

EXCEPTION: When coupling, switching or spotting equipment, increments of less than 2 car lengths need not be repeated.

(d) Radio communication shall be made clearly and concisely and in accordance with the following requirements:

(i) numbers may be pronounced in full or their digits may be stated separately;

(ii) a decimal point shall be indicated by the word "point"; and

(iii) the 24 hour system shall be used for expressing time.

12.1. RADIO OR HAND SIGNALS

Radio will be used to communicate signals or instructions, but if conditions require, hand signals may be used in lieu of radio. A definite understanding as to the method of control must be established between crew members giving or receiving instructions, before changing from radio to hand signals or from hand signals to radio. In case of an emergency, either method may be used in addition to that previously arranged.

12.2. SWITCHING BY RADIO

When radio is used to control a switching movement, and after positive identification has been established, the following procedures are required:

(i) direction in relation to the front of the controlling unit must be given in the initial instruction and from then on whenever the direction of movement is to change;

(ii) distance to travel must be given with each communication; and

(iii) movement must be stopped at once if no further communication is received when the movement has travelled 1/2 the distance required by the last instruction.

Note: Doubt as to the meaning of an instruction or for whom it is intended must be regarded as a stop signal.

124. AVOIDING DISTRACTION

GBO, authorities or instructions, must not be copied by the employee operating moving equipment, if it will interfere with the safe operation of such equipment.

125. EMERGENCY COMMUNICATION PROCEDURES

(a) An employee will transmit the word "EMERGENCY" three times at the beginning of the transmission to indicate the report of;

(i) an accident involving injury to employees or others;

(ii) a condition which may constitute a hazard to employees or others;

(iii) a condition which may endanger the passage of trains or engines; or

(iv) a derailment which has occurred on, or is fouling, a main track.

An employee initiating an emergency call shall state the nature of the emergency, the location and identify the assistance required.

(b) When an EMERGENCY communication, which is directed to a specific person or movement, has not been acknowledged, any other employee hearing it will, if practicable, relay the communication by any means available. Other employees must not interfere with such communication.

(c) An EMERGENCY communication has absolute priority over other transmissions. Employees shall ensure they do not interfere with emergency radio transmissions.

126. RESTRICTED USE OF RADIO

In addition to the restrictions in Rules 14 and 602, radio must not be used to;

(i) give advance information with respect to the indication of a fixed signal; or

(ii) give information which may influence a crew to consider that speed restrictions are diminished.

131. RECORDING

(a) The RTC must maintain indelibly in a book provided for the purpose, or a computer assisted system, a complete record of each GBO, clearance, TOP, authority, instruction and other information which is required to be in writing. The record must be made prior to or during the transmission and never from memory or memoranda, and if required to be sent again, it will be transmitted from the original record. Such records must include original date of issue, complete time(s) and acknowledgement(s), when applicable.

(b) When issuing by voice communication, if an error is detected in the record of a GBO, clearance, TOP, or other authority, and before the complete time has been given to any employee, the RTC must direct that all copies be immediately destroyed. The record must be marked void. If reissued, those which require numbering must be given a new number.

(c) In copying and recording, the spelling of each station name must be exactly as shown in the time table. The RTC, when recording addresses, may use standard station identity letters. Underscoring will be recorded except when verified by a computer assisted system.

132. BREVITY, CLARITY AND PRONUNCIATION

(a) GBO, clearance, TOP, authority, instruction and its record shall contain only essential information. It must be brief, but clear in its meaning, in the prescribed form when applicable, and without erasure or any condition which may render it difficult to read or understand.

(b) In transmitting and repeating by voice communication, all words and numbers must be clearly pronounced. When the communication is required to be in writing, numbers will be pronounced in full, then repeated stating each digit separately. Numbers represented by a single digit must be pronounced, then spelled.

133. NUMBERING

Except where numbering is controlled by computer, each RTC desk in a multiple desk office and desks controlling adjacent territories will use a separate series from other desks for numbering a GBO, clearance, TOP, authority, instruction or other information which requires numbering. Each series must be numbered consecutively using whole numbers. All numbers in a series may be preceded by letter(s). Duplicate numbers must not be in effect at the same time.

134. DESIGNATION OF TRAINS AND ENGINES

(a) In the body of a GBO or clearance:

(i) Except as indicated below, directional trains will be designated by their engine number and direction.

(ii) A passenger train operating on a schedule will be designated by train and engine number.

(iii) A work train will be designated by *Work* and the engine number.

(iv) A work train operating a snow plow will be designated by *Plow work* and the engine number.

(v) An engine of another railway or company will be designated by its initials and number.

(vi) When a track unit is operated as a train the abbreviation *TU* will precede the unit number.

(b) In the address of a GBO, TGBO, clearance or other authority, in addition to those designations outlined in (a), the following may be used:

(i) A passenger train operating on a schedule may be designated by train number only.

(ii) A freight train may be designated by its freight identification number.

(iii) An employee's occupation *and* name.

(c) Engines will be designated by their engine number. When the engine number is unknown, GBO and TGBO may be addressed to a crew member.

(d) When trains are designated by engine number and units are operated in multiple, the number of the leading unit must, when practicable, be used in the designation of the train or engine. The number lights of the designating unit only will be illuminated at all times.

135. EMPLOYEES ADDRESSED

A GBO, TGBO, clearance or other authority must be addressed to those who are to execute or observe it. When addressed to a train or engine it must be regarded as being addressed to the conductor and locomotive engineer and also to the pilot or snow plow foreman, if any. A crew member copying a GBO or clearance must ensure that those addressed receive a copy.

136. COPYING, REPEATING AND COMPLETING

(a) The employee copying a GBO, clearance, TOP or other authority from the RTC, must copy as it is transmitted and repeat from the copy received all applicable written and preprinted portions. The spelling of each station name must be exactly as shown in the time table.

(b) The RTC must verify each written word and digit each time it is repeated. If correct the RTC will respond "complete", the time and the initials of the RTC, which will be recorded and acknowledged by the employee copying. The employee copying must acknowledge the complete time by repeating the complete time and the initials of the RTC to the RTC.

(c) When transmitted by voice communication direct to the crew of a train or engine, the complete time must not be given until each crew member copying has correctly repeated it.

139. BECOMING EFFECTIVE

A GBO, clearance, TOP or other authority takes effect at the moment the complete time is given by the RTC. However, the RTC must not take further action if there is a restriction contained therein until the complete time has been acknowledged by the employee copying.

140. CHANGES AFTER COMPLETION

Changes must not be made to a GBO, clearance, TOP or other authority after the complete time has been given by the RTC, except:

(i) when an address is added to a GBO, the number and the applicable portion of the GBO address must be repeated to and verified by the RTC.

(ii) when a time or location to call the RTC is indicated on a clearance, TOP or other authority, such time or location may be changed as required. When so changed, the employee copying must draw a line through the previous time or location.

141. MAKING ADDITIONAL COPIES

(a) When additional copies of a GBO, clearance, TOP or other authority are required, they may be received from the RTC or made from one previously completed. Such copies must be repeated to the RTC from the new copy except when reproduced by a duplicating device.

(b) An employee producing or reproducing a copy for delivery to other employees must check each copy to ensure legibility.

142. UNDERSTANDING BETWEEN CREW MEMBERS

(a) Every conductor, locomotive engineer, pilot and snow plow foreman must read and have a proper understanding of GBO, clearances, DOB and TGBO as soon as they have been received. Each GBO, clearance, DOB and TGBO must be made available to other crew members, as soon as practicable, ensuring that each crew member has read and understands them and, when required, the arrangements for protection between crews and between foremen and crews.

(b) Crew members within physical hearing range are required to remind one another of the restrictions contained in GBO, clearances, DOB and TGBO in sufficient time to ensure compliance.

(c) All members of the crew are required to see that the DOB is properly dated and that the number of pages and the number of items compare with that shown on the last page of the DOB. To indicate that the comparison has been undertaken, each

crew member will sign the last page and initial all other pages of the copy of the DOB that they've checked.

(d) All members of the crew are required to see that the number of pages and the number of items compare with that shown on the last page of the TGBO and that the "applicable on" portion covers the specific routing for the entire trip. To indicate that the comparison has been undertaken, each crew member will on the copy of the TGBO that they've checked: initial each page except the last; initial the "applicable on" portion; initial the train designation; and sign the last page.

Note: The designation of the TGBO must be compared with the designation for the train on the WOPRT. When the WOPRT is not available, a member of the crew may obtain the correct designation of the train for comparison to the TGBO from the RTC, company supervisor or other employee who has access to this information. If the designation is incorrect on the TGBO, the RTC must be contacted to issue a new TGBO with the correct designation or a change of designation by GBO. When the WOPRT is incorrect, the RTC, company supervisor or other employee who has access to the correct information may verbally instruct the crew to change the designation on the WOPRT.

147. TRANSFER BETWEEN CREWS

(a) When a conductor, locomotive engineer or both are changed off, or relieved, all GBO, clearances, authorities, DOB and other written instructions and all necessary information still in effect must be transferred personally to the relieving crew. The transfer must be known to be understood by the relieving conductor or locomotive engineer.

(b) When it is not practicable to carry out a personal transfer between conductors and locomotive engineers, a list of the items transferred must be prepared and signed by the conductor and locomotive engineer going off duty. The list, together with these items, must be left for the relieving crew at a location designated by the RTC. The relieving conductor and locomotive engineer must compare all pertinent information with the RTC before proceeding.

(c) Verbal instructions received from a foreman must not be transferred. The relieving crew must contact the foreman and obtain the necessary authority and/or instructions.

148. PERSONAL TRANSFER BETWEEN RTCs

(a) Where a computer assisted system generates a list as defined in paragraph (b), the relieving RTC must sign into the system in the presence of the on-duty RTC, and receive verbal and/or written transfer of other necessary instructions and information.

(b) Except as prescribed in paragraph (a), before being relieved, an RTC must make an indelible list in a book provided for the purpose, of GBO, DOB, TGBO, clearances, other operating authorities and TOP in effect:

(i) Each such record must have been read, understood and initialled by the relieving RTC.

(ii) Other necessary instructions and information must also be transferred.

(iii) Both RTCs must sign the transfer and the relieving RTC will record the time the transfer is completed.

GENERAL BULLETIN ORDERS (GBO)

Definitions

GENERAL BULLETIN ORDER(S) (GBO) - Instructions regarding track condition restrictions and other information which affect the safety and movement of a train or engine.

DAILY OPERATING BULLETIN (DOB) - Instructions regarding track condition restrictions and other information which affect the safety and movement of a train or engine within limits indicated in the time table or specified in special instructions.

TGBO - Instructions regarding track condition restrictions and other information which affect the safety and movement of a train or engine within limits indicated in the time table or specified in special instructions.

151. IDENTICAL MEANING TO ALL

The body of each GBO must be given in the same words and figures to each employee, train or engine addressed.

152. DELIVERY OF GBO

The RTC must ensure that trains and engines affected by a GBO are issued a copy of the GBO, or are otherwise secured.

153. CONFIRMATION TO A FOREMAN

Confirmation of protection must not be given to a foreman until all trains and engines affected have received a copy of the GBO or are otherwise secured.

154. REMAIN IN EFFECT

GBO, in the possession of a train or engine crew remain in effect for the entire tour of duty unless cancelled. GBO, TGBO and DOB must be retained at away from home locations to be available, if required, for the return trip. Crews tieing up on line must contact the RTC as to disposition of TGBO for their train.

155. CANCELLING GBO

To cancel an item of a GBO or a GBO, the RTC will use the following:

(a) Item No _____ of GBO No _____ is cancelled _____.
(RTC)

(b) GBO No _____ is cancelled _____.
(RTC)

When the cancellation has been correctly repeated, the RTC will respond "complete", the time and the initials of the RTC.

83.1. DAILY OPERATING BULLETIN (DOB)

(a) Within limits indicated in the time table or specified in special instructions, a DOB will be issued by the proper authority. DOB is applicable on all tracks where main track rules are applicable and other tracks specified within limits indicated in the time table or special instructions.

(b) The DOB will take effect at the time specified and will remain in effect until the same time the following day. A train or engine crew within DOB limits unable to clear the limits before the DOB expires, or unable to obtain a copy of the next current DOB, must communicate with and be governed by instructions of the RTC which must be in writing. In such circumstances, the DOB must be extended by the RTC with any necessary changes. If unable to communicate with the RTC, the train or engine must be stopped.

(c) The RTC will ensure that the information or instructions contained in each GBO, pertaining to track or other conditions within such limits, is correct and placed in the appropriate DOB.

(e) Except as provided by paragraph (b), a train or engine must not occupy any track within DOB limits where the DOB is applicable, unless it is in possession of the current DOB or a TGBO which is applicable within the limits or portion of the limits of the DOB that the train or engine will operate.

83.2 TGBO

(a) Within limits indicated in the time table or specified in special instructions, a TGBO will be issued by the proper authority. TGBO is applicable on all tracks where main track rules are applicable and other tracks specified within limits indicated in the time table or special instructions.

(b) A train or engine must not occupy any track where the TGBO is applicable, unless it is in possession of the current TGBO or a DOB which is applicable within the limits or portion of the limits that the train or engine will operate. Trains and engines required to operate outside of DOB limits must operate their entire trip with a TGBO addressed to their movement unless authorized by the RTC or by special instructions. A train or engine crew within TGBO limits with a TGBO that includes an item that cancels the TGBO at a specific time, must communicate with and be governed by instructions

of the RTC before the expiry time. If unable to communicate with the RTC and unable to clear TGBO limits, the train or engine must be stopped.

(c) If an incorrectly designated TGBO is received or there is no TGBO for that train in the FAX machine, the RTC must be contacted immediately. The backup copy of the TGBO that may be resident in some FAX machines must not be used without authorization from the RTC.

OCCUPANCY CONTROL SYSTEM (OCS) RULES

OCS					
Authority for Trains and Engines	DOB &/or TGBO	Speeds	Protection for Track Work	Protection for Track Units	Protection for Equipment
Clearance	Required	Time Table GBO	Rule 42 or Work Clearance	Rule 42 or Clearance	GBO or Clearance

Definition:

OCCUPANCY CONTROL SYSTEM (OCS):

A system in which OCS rules apply.

301. APPLICATION AND SUPERVISION

(a) On subdivisions, or portions of subdivisions, specified in the time table or special instructions, the use of the main track will be governed by Occupancy Control System (OCS) Rules.

(b) The movement of trains will be supervised by the RTC, who will issue clearances, GBO and instructions as may be required.

81. CLEARANCE REQUIRED

(a) A train or engine must be authorized by a clearance to occupy or foul the main track where OCS rules are applicable.

(b) A clearance will be sent direct to the crew of the train or engine addressed. Before the clearance is acted upon the conductor and locomotive engineer must, as soon as possible, ensure that each is in possession of the clearance and their train or engine is correctly designated. Engine number must be verified visually to ensure correctness.

81.2. DEFINING CLEARANCE LIMITS OF AUTHORITY

(a) In a clearance the limits of operating authority must be defined by identifiable locations.

(b) When station names are used to define the limits, the authority does not include the use of the main track between the siding switches at either of the stations named. Where there is no siding, the authority extends from or to the station name sign.

88. STOPPING CLEAR OF FOULING POINT

A train required to stop at a meeting, clearing or waiting point, or at the end of operating authority, must be stopped clear of the route to be used by another train.

81.3. CLEARANCE IN EFFECT

A clearance remains in effect until fulfilled, superseded or cancelled.

82. SUPERSEDING A CLEARANCE

(a) A clearance may be issued superseding a clearance already in possession of the crew of the train addressed.

(b) The superseding clearance must include the section of track occupied by the train. The superseding clearance must not include a requirement to wait until the arrival of an opposing train.

(c) If a superseding clearance restricts the limits of operating authority already in possession of the train addressed, the RTC must not take further action until the conductor and locomotive engineer have acknowledged the complete time.

82.1. CANCELLING A CLEARANCE

(a) Before a clearance is cancelled, the train or engine addressed must be;

(i) clear of the limits of the clearance;

(iii) protected as prescribed by Rule 101.2.

(b) When a clearance is cancelled, the cancellation does not take effect until it has been correctly repeated and acknowledged by the conductor and locomotive engineer. The conductor and locomotive engineer must acknowledge the cancellation by repeating the cancelled time and initials of the RTC to the RTC.

82.2. AVOIDING FURTHER USE

To avoid further use when a clearance is fulfilled, cancelled or superseded the conductor and locomotive engineer must immediately draw an **X** across the clearance and advise other crew members accordingly.

303. PROTECTION AGAINST FOLLOWING TRAINS

Two trains may be authorized to proceed in the same direction, within the same limits, provided that each train is instructed on its clearance to protect against the other train. Before either train moves within the limits stated, conductors and locomotive engineers of the two trains must have a thorough understanding as to each other's movements and the protection to be provided. These and subsequent arrangements must be in writing before being acted upon. If communication fails between the trains affected, no movement shall be made other than that which was last arranged.

Note: With the protection of at least 2 block signals to the rear, 2 or more trains may be authorized to proceed in the same direction within the same limits governed by block signal indications WITHOUT being required to protect against each other.

304. RESTRICTION BEFORE LEAVING

When a train has been restricted by clearance, such train must not leave the point named until the opposing train or trains named on the clearance have arrived.

89. POSITIVE IDENTIFICATION BEFORE LEAVING

A train must not leave any point without knowing positively that the train or trains to be met or cleared at that point have arrived or left.

305. BEFORE ISSUING CLEARANCE AUTHORITY

Before issuing clearance authority, the RTC must provide protection against all conflicting trains and engines and foremen within the limits stated.

306. TRACK USE

In multitrack OCS, a clearance must specify the track(s) to be used.

307.1. CLEARING OCS LIMITS

The conductor of each train will arrange for a track release as prescribed in Rule 85.1 to be provided to the RTC as soon as possible after clearing the limits of the train's last proceed clearance for that subdivision.

85.1. LOCATION REPORT

(a) The conductor of each train will ensure the RTC is promptly advised of the time the train has arrived, left or cleared a location specified by the RTC, or at a time specified by the RTC.

(b) The conductor and locomotive engineer must ensure the accuracy of the location report and that the entire movement has arrived, left or cleared that location. If an error in the report is detected after it has been given to the RTC, the train, engine or track unit must be stopped immediately and the RTC contacted. Additionally, if the errant report results in the train, engine or track unit not having authority or protection to occupy the main track, an emergency radio broadcast must be initiated on the standby channel and then on the standby channel for the RTC and protection as required by Rule 35 initiated.

(c) When a report is to be used for track release purposes, the RTC must, as it is transmitted, verify the train, engine or foreman identification and record the location and time into the computer assisted system.

308. WORK CLEARANCE AUTHORITY

(a) When authorized to work by clearance a train may move in either direction between the points named on the clearance.

(b) The clearance which creates a work train remains in effect until superseded or cancelled.

308.1. CLEARANCE TO PROCEED

Unless otherwise provided by rules or special instructions, when authorized to proceed by clearance, a train must move only in the specified direction.

Without being authorized by a work clearance, a train moving with a proceed clearance may:

(i) reverse movement into interlocking limits on signal indication or with permission of the signalman;

(ii) reverse movement into CTC on signal indication or written permission of the RTC; or

(iii) reverse movement to clear the main track at a hand operated switch;

provided that the trailing end of the movement stops within 100 feet of the switch or signal.

309. TRAINS MOVING THROUGH WORKING LIMITS

(a) To enter or move within the limits of one or more work trains, a train must be restricted by its clearance as follows:

"Protect against Work 5748 (and Work 9460) between Exeter and Jasper."

(b) A train must not enter nor move within the working limits until a thorough understanding is established with the conductor and locomotive engineer of each work train. Such understanding must be in writing and include information with respect to the specific movements of each train and the protection to be provided. Such protection must be provided until the train has left the working limits.

310. MULTIPLE WORK TRAINS

(a) Two or more work trains may be authorized within the same or overlapping limits. Each work train must be restricted by its clearance to protect against each of the other work trains.

(b) Conductors and locomotive engineers of the work trains must have a thorough understanding, in writing, as to the movement of each work train and the protection to be provided.

311. TRAINS OR ENGINES ENTERING FOREMAN'S LIMITS

(a) A train or engine must not be authorized to enter or move within the limits of a foreman's limits until it has been restricted as follows:

"Protect against foreman _____ between _____ and _____."

(b) The train or engine must not enter, nor move within, the foreman's limits until instructions have been obtained from the foreman named on the clearance. These instructions must be repeated to and acknowledged by the foreman before being acted upon.

(c) Except as provided by this rule, the RTC must not authorize any train or engine to enter or move within foreman's limits until the foreman named in the clearance has reported clear and the clearance has been cancelled.

314. RADIO BROADCAST REQUIREMENTS

A member of the crew on passenger and cabooseless trains must initiate a radio broadcast to the airwaves on the designated standby channel 1 to 3 miles from the next station or interlocking or when entering the main track in multitrack OCS, including any restrictions contained in the clearance and the track operating on if in multitrack.

Examples:

"CN 5263 West, 1 mile to Baker, restricted at Baker East"

"VIA 93 entering North track at Bird"

"CN engine 9102 on North Track, 1 mile to Interlocking Mile 6.3 Jackson Sub"

GENERAL DESCRIPTION AND LOCATION OF FIXED SIGNALS

401. LOCATION

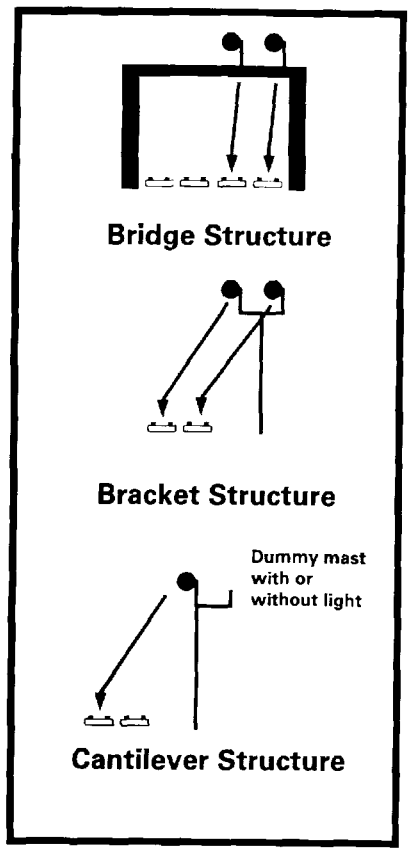
Wherever practicable, fixed signals other than switches, will be located above, or to the right of, the track they govern. Where circumstances require that signals be otherwise placed, such conditions will be indicated by GBO, DOB, TGBO or special instructions.

EXCEPTION: A block or interlocking signal that is required to be placed to the left of the track it governs, need not be indicated by GBO, DOB, TGBO or special instructions, provided that such location does not place the signal to the right of another signalled track.

The indications displayed on block and interlocking signals govern movement to the next signal or block end sign in the direction of movement or, in the case of a signal to leave the main track to enter non-main track, to the block end sign or until the leading end of the movement has passed entirely through the controlled location and entered non-main track.

402. POSITIONING

Where conditions require, block and interlocking signal heads and semaphore arms will be positioned with respect to the tracks on which they affect movements as illustrated below:



403. APPEARANCE OF COLOUR LIGHT AND SEMAPHORE SIGNALS

(a) Block and interlocking signal aspects will be displayed by one of the following:

COLOUR LIGHT TYPE - By the colour, position, flashing of lights, or combinations thereof.

SEMAPHORE TYPE - By the position and shape of arms, colour of lights or combinations thereof.

(b) The indications of any such signal may be qualified or modified by an attached plate.

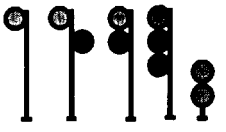
(c) Lights may be attached to either side of the signal mast and number plates may be provided for the purpose of identifying the location.

404. STANDARD INDICATIONS

The illustrations in Rules 405 - 429 are standard aspects and indications. Other signal aspects and indications necessary will be illustrated in special instructions.

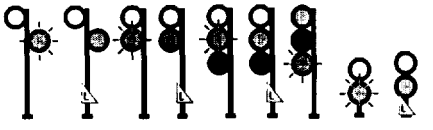
BLOCK AND INTERLOCKING SIGNALS

405. Clear Signal



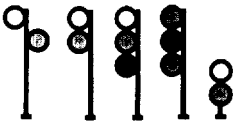
Proceed.

406. Clear to Limited



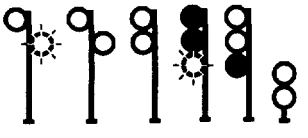
Proceed, approaching next signal at limited speed.

407. Clear to Medium



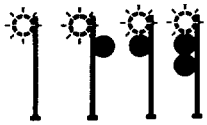
Proceed, approaching next signal at medium speed.

408. Clear to Slow



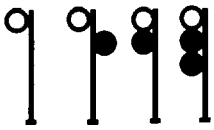
Proceed, approaching next signal at slow speed.

409. Advance Clear to Stop



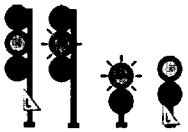
Proceed, next signal is displaying Clear to Stop, be prepared to stop at second signal.

410. Clear to Stop



Proceed, preparing to stop at next signal.

411. Limited to Clear



Proceed, limited speed passing signal and through turnouts.

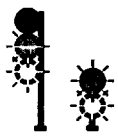
412. Limited to Limited

Proceed, limited speed passing signal and through turnouts, approaching next signal at limited speed.

413. Limited to Medium

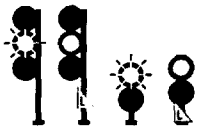
Proceed, limited speed passing signal and through turnouts, approaching next signal at medium speed.

414. Limited to Slow



Proceed, limited speed passing signal and through turnouts, approaching next signal at slow speed.

415. Limited to Stop

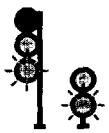


Proceed, limited speed passing signal and through turnouts, preparing to stop at next signal.

416. Medium to Clear

Proceed, medium speed passing signal and through turnouts.

417. Medium to Limited

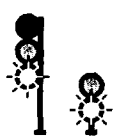


Proceed, medium speed passing signal and through turnouts, approaching next signal at limited speed.

418. Medium to Medium

Proceed, medium speed passing signal and through turnouts, approaching next signal at medium speed.

419. Medium to Slow

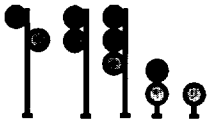


Proceed, medium speed passing signal and through turnouts, approaching next signal at slow speed.

420. Medium to Stop

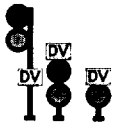
Proceed, medium speed passing signal and through turnouts, preparing to stop at next signal.

421. Slow to Clear



Proceed, slow speed passing signal and through turnouts.

421DV. Diverging to Clear



Proceed, 25 MPH passing signal and through turnouts.

422. Slow to Limited

Proceed, slow speed passing signal and through turnouts, approaching next signal at limited speed.

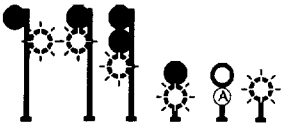
423. Slow to Medium

Proceed, slow speed passing signal and through turnouts, approaching next signal at medium speed.

424. Slow to Slow

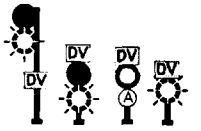
Proceed, slow speed passing signal and through turnouts, approaching next signal at slow speed.

425. Slow to Stop



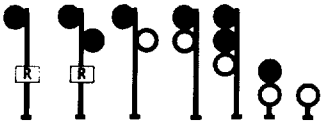
Proceed, slow speed passing signal and through turnouts, preparing to stop at next signal.

425DV. Diverging to Stop



Proceed, 25 MPH passing signal and through turnouts, preparing to stop at next signal.

426. Restricting

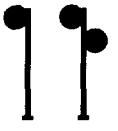


Proceed at restricted speed.

426DV. Diverging

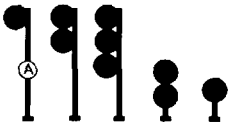
Proceed, prepared to stop within 1/2 the range of vision of equipment, also prepared to stop short of a switch not properly lined and in no case exceeding 25 MPH passing signal and through turnouts.

428. Stop and Proceed



Stop, then proceed at restricted speed.

429. Stop



Stop.

Note: Unless required to clear a switch, crossing, controlled location, or spotting passenger equipment on station platforms, stop must be made not less than 300 feet in advance of the STOP signal.

430. FLASHING ARROW

Flashing arrow indicators attached to block signals when illuminated, identify that the route at the next controlled location is displaying a permissive signal and the route is lined and secured as indicated by the direction of the arrow.

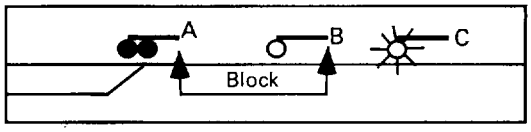
CENTRALIZED TRAFFIC CONTROL SYSTEM (CTC) RULES

CTC					
Authority for Trains and Engines	DOB &/or TGBO	Speeds	Protection for Track Work	Protection for Track Units	Protection for Equipment
Signal indication or RTC permission	Required	Time Table GBO Signal Indication	TOP Rule 42	TOP Rule 42	RTC permission RTC protects

DEFINITIONS:

ADVANCE SIGNAL - A fixed signal used in connection with one or more signals to govern the approach of a train or engine to such signal.

BLOCK - A length of track of defined limits, the use of which by a train or engine is governed by block signals.



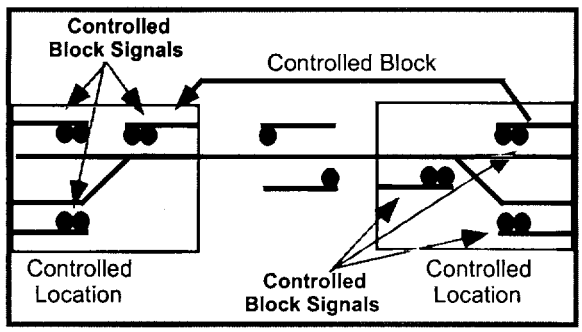
BLOCK SIGNAL - A fixed signal at the entrance to a block to govern a train or engine entering or using that block.

CENTRALIZED TRAFFIC CONTROL SYSTEM (CTC) - A system in which CTC rules apply.

CONTROLLED BLOCK - A block in CTC between consecutive controlled locations.

CONTROLLED BLOCK SIGNAL - A block signal at a controlled location in CTC which is capable of displaying a Stop indication until requested to display a less restrictive indication by the RTC.

CONTROLLED LOCATION - A location in CTC consisting of one or more controlled block signals.



DUAL CONTROL SWITCH - A switch equipped for powered operation, also equipped for hand operation. Most dual control switches operated in "power" position are remotely operated by the RTC or signalman. Locally Controlled switches are operated by push buttons located at the switch location or by Radio control codes and are usually self restoring switches.

ELECTRIC SWITCH LOCK - An electric lock connected with a hand operated switch to prevent its operation until the lock is released.

POWER-OPERATED SWITCH - A switch equipped for powered operation, but not equipped for hand operation.

ROUTE - The track a train or engine will use in passing from one location to another.

SIGNAL INDICATION - The information conveyed by a fixed signal.

SPEEDS:

SPEED	MPH that must not be exceeded	Be able to stop within 1/2 range of vision of equipment	Prepared to stop short of a switch not properly lined	Be on the lookout for a broken rail
SLOW	15			
DIVERGING	25			
MEDIUM	30			
LIMITED	45			
REDUCED		X		
RESTRICTED	15	X	X	X

SPRING SWITCH - A switch equipped with a spring mechanism arranged to restore the switch points to normal position after having been trailed through.

SWITCHING ZONE - That portion of the main track or main tracks in CTC, within limits specified in the time table or special instructions.

TRACK OCCUPANCY PERMIT (TOP) - Permit(s) issued for the protection of track units and track work.

TRAILING END - The end of the last piece of equipment in a movement in the direction of travel. Examples: A 100 car coal train moving westward, with the locomotives on the west end - the trailing end would be the last coal car on the train. If this train should reverse direction so that this coal car is now leading, the locomotive at the extreme other end of the train would become the trailing end.

560. APPLICATION

Where CTC is designated in the time table or special instructions, trains and engines will be governed by block signals with reference to both opposing and following trains or engines on the same track.

No Advance Signal - At locations where there is no advance signal to the signal governing movements into CTC, all trains and engines must approach such governing signal preparing to stop until such signal can be observed as displaying a more favourable indication than Stop.

561. SUPERVISION

The movement of trains and engines will be supervised by the RTC, who will issue instructions as may be required.
An electric horn and white light are located on most signal bungalows in CTC. When horn is sounding or white light is lighted, it is a request to any employee in the vicinity (except crews of moving trains) to contact the RTC.

562. MAIN TRACK AUTHORITY

Clearance authority is not required within CTC. A train or engine must not foul or enter the main track unless authorized by signal indication or permission from the RTC.

563. AUTHORITY FOR ENGINES

An engine may use the main track only within a switching zone.

564. STOPPED BY STOP SIGNAL

(a) A train or engine must have authority to pass a block signal indicating Stop and, when so authorized, a stop must be made at each such signal. Communication with the RTC to obtain authority to pass a signal indicating Stop must include the occupation and name of the crew member, the train or engine designation, the location and the signal number(s).

(b) The RTC may authorize the train or engine to pass the signal but before doing so must:

(i) ensure that there are no conflicting trains or engines within, or authorized to enter, the controlled block affected (other than one authorized by Rule 567); and

(ii) provide protection against all opposing trains or engines.

(c) When signal blocking devices are used, they may be removed after the authorized train or engine has entered the controlled block affected. The RTC must not permit any opposing train or engine to enter the controlled block until the authorized train or engine has cleared such block.

(d) The train or engine so authorized must move at restricted speed to the next signal or Block End sign, and must be governed by Rule 104.1 at spring

switches, Rule 104.2 at dual control switches, Rule 104.3 at power-operated switches and Rule 611 at automatic interlockings.

Reduced speed authority - When a known condition prevents clearing of controlled signals into an affected block, the RTC may authorize movement at REDUCED SPEED to the next signal or Block End sign. Trains will be advised whether or not equipment is present in the block. Reduced Speed remains applicable unless the block is known to be clear of equipment. Reduced speed commences when the leading unit in the engine consist has passed entirely through the controlled location. The movement must approach the next signal prepared to stop and there be governed by the indication displayed.

(e) The authority granted and instructions received must be in writing and, where applicable, specify the route to be used. No movement may be made until the locomotive engineer has been made aware of the route to be used.

566. EXCLUSIVE WORK AUTHORITY

(a) A train or engine may be given exclusive work authority which permits movement in either direction within specified limits. When such authority is requested, the communication to the RTC must include the occupation and name of the crew member, the train or engine designation, the location, the required limits and the track or tracks to be used.

(b) Before issuing such authority the RTC must;

(i) ensure that there are no other trains or engines within, or authorized to enter, the required limits; and

(ii) block at Stop all devices controlling signals governing other trains or engines into such limits.

(c) The RTC must maintain signal blocking against all trains and engines and must not authorize any other train or engine to enter the affected limits until the work authority has been cancelled.

(d) If work authority is cancelled while the train or engine is within the affected limits, the conductor or locomotive engineer must inform the RTC of the intended direction of movement. The RTC must maintain signal blocking against opposing trains or engines until the protected train or engine has cleared the controlled block.

(e) When the authority specifies: "Call RTC _____," the conductor or locomotive engineer must communicate with the RTC as instructed.

(f) The authority granted and instructions received must be in writing. The locomotive engineer must be aware of the track limits before any movement is made.

566.1. SIGNAL INDICATION SUSPENDED WHILE SWITCHING

(a) A train or engine crew may be authorized to manually operate specific dual control switches at a controlled location, as prescribed by Rule 104.2, paragraph (e). Such authority must be included with work authority, as prescribed by Rule 566 or 567. The indications of signals governing movement over such switches may be considered suspended while switches are in the "hand" position, but only while switching is being performed at the designated controlled location.

Note: The movement must be authorized by signal indication or Rule 564 into the controlled location, before being issued the Rule 566 which inc ludes the Rule 566.1 authority.

(b) When switching is to be performed over a spring switch, which is included in the limits of a work authority prescribed by Rule 566 or 567, the indication of the signal governing movement over such switch may be considered suspended, if the switch is properly lined.

567. JOINT WORK AUTHORITY TRAINS AND ENGINES

(a) More than one train and/or engine may be given joint work authority which permits movement in either direction within the specified limits. Each crew requesting such authority will communicate with the RTC. Such communication must include the occupation and name of the crew member, the train or engine designation, the location, the required limits and the track or tracks to be used. Each such train or engine must be instructed: "Protecting against each other." The conductor and locomotive engineer of each train or engine must have a thorough understanding in writing with respect to the movements of each train or engine and the protection to be provided.

(b) Before issuing joint authority, the RTC must;

(i) ensure that there are no trains or engines in the affected limits, other than the trains or engines which are to be authorized; and

(ii) block at Stop all devices controlling signals governing trains or engines into the affected limits.

(c) The RTC must maintain signal blocking against all trains and engines and must not authorize any train or engine, other than one which is thereby protected, to enter the affected limits until the work authority has been cancelled. Each train or engine must be clear of the affected limits before the work authority is cancelled.

EXCEPTION: If the work authority remains to be cancelled to only one train or engine, it may be cancelled while that train or engine is within the affected limits. In such case, the conductor or locomotive engineer must inform the RTC of the intended direction of movement. The RTC must maintain signal blocking against opposing trains or engines until the protected train or engine has cleared the controlled block.

(d) When the authority specifies: "Call RTC _____," the conductor or locomotive engineer of each train or engine so instructed must communicate with the RTC as instructed.

(e) The authority granted and instructions received from the RTC must be in writing. The locomotive engineer, of a train or engine so authorized, must be made aware of the track limits before any movement is made by that train or engine.

567.1. JOINT AUTHORITY TRAIN OR ENGINE AND TOP

(a) A train or engine may be authorized to occupy the limits of a TOP. Each time a train or engine is so authorized, the authority must be in writing and in the following form:

Joint authority granted with
Foreman _____
(name)
between _____ and _____.
(location) (location)
_____ must not proceed
(train or engine)
until instructions have been received
from Foreman _____.
(name)

(b) No movement may be made until the conductor and locomotive engineer are aware of the authority granted and have received specific instructions from the foreman named in the joint authority. Such instructions must be repeated to, and acknowledged by, the foreman before being acted upon.

(c) The RTC must maintain signal blocking against all trains and engines and must not authorize another train or engine, or issue another TOP to apply, within the protected limits until the authority granted under this rule has been cancelled.

NOTE: Signal blocking applied to protect the TOP must be maintained until the TOP is cancelled to the foreman. The cancellation does not take effect until it has been correctly repeated and acknowledged by the foreman. The foreman must acknowledge the cancellation by repeating the cancelled time and the initials of the RTC to the RTC.

568. SIGNAL OR PERMISSION TO ENTER MAIN TRACK

(a) A train or engine must not foul or enter a main track, nor re-enter one after having cleared it, except by signal indication or until permission has been received from the RTC. When such permission is requested, the communication to the RTC must include the occupation and name of the crew member, the train or engine designation, the location and track to be fouled or entered.

(b) When entry to the main track is to be made at a non-electrically locked hand operated switch, or at a switch where the seal on the electric switch lock is broken, such permission from the RTC must

include the direction and route to be taken and must be in writing. No movement may then be made until the locomotive engineer has been made aware of the circumstances.

Before issuing such permission the RTC must;

(i) ensure that there are no conflicting trains or engines within, or authorized to enter, the controlled block affected; and

(ii) block at Stop all devices controlling signals governing trains or engines into the affected controlled block.

(c) The RTC must maintain signal blocking against opposing trains or engines and must not permit any opposing train or engine to enter the controlled block until the protected train or engine has cleared the controlled block. Signal blocking against following trains or engines must not be removed nor may following trains or engines be permitted to enter the controlled block until the conductor or locomotive engineer, of the train or engine being protected, has reported that the train or engine has entered the main track and has commenced movement in the authorized direction.

EXCEPTION: Permission to enter or re-enter the main track need not be in writing for a train or engine authorized by Rule 566 or 567 when entry is to be made into such limits at a non-electrically locked hand operated switch, or at a switch where the seal on the electric switch lock is broken.

569. CANCELLING AUTHORITIES

(a) Authority or permission granted by Rules 564 or 568 may be cancelled provided the train or engine has not entered the controlled block affected.

(b) When authority granted by Rules 564, 566, 567, 567.1 or the permission in writing granted by Rule 568 is cancelled, the cancellation does not take effect until it has been correctly repeated and acknowledged by the conductor and locomotive engineer of the train or engine affected. The conductor and locomotive engineer must acknowledge the cancellation by repeating the cancelled time and the initials of the RTC to the RTC. Other members of the crew must immediately be advised of the cancellation and all copies of the cancelled authority must be destroyed.

570. ENTERING BETWEEN SIGNALS

(a) A train or engine which has entered a block between signals at a hand operated switch, equipped with an electric switch lock, must approach the next signal prepared to stop, unless or until the track is seen to be clear to the next signal and such signal displays a more favourable indication than Stop or Stop and Proceed.

ELECTRIC SWITCH LOCK INSTRUCTIONS:
To enter main track:

(i) Before opening the door of the box, permission must first be obtained from the RTC.

(ii) Move the operating handle to "Request" position and wait for the banner to show "Unlocked".

(iii) When "Unlocked" is obtained, move the operating handle counter clockwise to "Release" position. The switch may then be opened.

To leave main track:

(i) Movement must be stopped within 100 feet of the switch.

(ii) Move the operating handle to "Request" position and wait for the banner to show "Unlocked".

(iii) When "Unlocked" is obtained, move the operating handle counter clockwise to "Release" position. The switch may then be opened.

Emergency Release:

(i) Permission must first be obtained from the RTC to break the seal.

(ii) Break the seal, hold down the emergency release lever and move the operating handle to the "Unlocked" position. the switch may then be opened.

After use of electric switch lock is complete:

When all movement through the switch has been completed and the switch restored to normal position and locked, the operating handle must be restored to normal position, the door closed and locked and the RTC advised.

(b) When entry to a block is made at a switch not equipped with an electric switch lock, or one where the seal on the electric switch lock was previously broken, a train or engine must move at restricted speed to the next signal, unless or until the track is seen to be clear to the next signal, and the indication of such signal permits movement at other than restricted speed.

(c) A train or engine which has entered a block, where it has been necessary to activate the emergency release of an electric switch lock, must move at restricted speed to the next signal.

571. CHANGING ROUTES

When necessary to change any route for which signals have been cleared for an approaching train or engine, such signals may be restored to indicate Stop. However, no part of the route may be changed, nor signals cleared for a train or engine on a conflicting route, when the train or engine for which signals were first cleared is less than three blocks distant from the first of such signals, unless;

(i) the train or engine for which signals were first cleared has stopped in response to the Stop indication; or

(ii) no part of the train or engine has passed the advance signal and the locomotive engineer has acknowledged that the train or engine is prepared to stop short of the controlled block signal.

Note (1) Signals that have been cleared for an approaching train or engine may be restored to

Stop if no part of the train or engine has passed the advance signal and/or the locomotive engineer has acknowledged that the train or engine is able to make a normal stop at the controlled signal.

Note (2) In case of emergency, a signal may be restored to Stop at any time.

572. STOP SIGNAL PASSED WITHOUT AUTHORITY

Whenever any part of a train or engine passes a block signal indicating Stop without authority;

(i) the portion of the train or engine which has passed the signal must be protected immediately in the manner as prescribed by Rule 35;

(ii) an emergency radio call, giving warning of the situation, must be made at once; and

(iii) the RTC must be notified as quickly as possible, who will issue the necessary instructions.

573. REVERSE MOVEMENTS

(a) A train or engine, having passed beyond the limits of a block, must not back into that block until the RTC has been informed of the intended movement, and such movement has been authorized by;

(i) the indication of a block signal, other than a Restricting Signal equipped with a plate displaying the letter "R", or a Stop and Proceed Signal;

(ii) Rule 564; or

(iii) Rule 566 or 567.

NOTE: The application of (iii) does not dispense with the requirements of Rule 564 at a Stop Signal.

(b) When a train or engine has entered a controlled location on signal indication, and stops with its trailing end within such controlled location, it may only move in the opposite direction as prescribed by paragraph (a), clause (iii).

(c) Except when protected by Rule 566 or 567, a reverse movement within a block, provided such movement will not re-enter a block it has cleared, may not be made until after a flagman has taken up a position beyond the farthest point to which the movement may extend. Stop signals must be given by the flagman from a point where they can be plainly seen from an approaching train or engine from not less than 300 yards. The RTC must be notified of such movement whenever practicable.

The RTC must be notified before a reverse movement is made within a block where a spring switch is located.

(d) **Instructions For Switching At Controlled Locations**

(i) **Signal Indication** - The preferable method for switching at a controlled location is using the signal system by having the RTC signal the movement over the controlled location by use

of directional signals. If unable to clear the controlled location when switching is completed, the RTC will authorize departure by issuing a Rule 566 to the movement. If the first move into the block was authorized by Rule 564, movement to the next signal must be made at Restricted speed. Note: At locations where the next signal is visible to the crew, the RTC may authorize the crew to pull ahead at restricted speed and be governed by the indications of that signal. Rule 566 would not be required when so authorized.

(ii) **Switching Signals -** A member of the crew will request the switching signal when a controlled location is so equipped. The signal will constantly indicate "Restricting" so that multiple moves over the plant may be made. When switching is completed, the RTC must be advised so the signal may be cancelled. Before doing so, the member of the crew requesting the cancellation must advise all other crew members and receive their assurance that they are and will remain clear of the switching signal limits.

If unable to clear the controlled location, the RTC will verbally authorize departure. The RTC will then cancel the switching signal. Movement to the next signal must be made at restricted speed. To avoid having to operate at restricted speed, movements should attempt to back clear of the switching signal on final move and leave on proper signal indication.

(iii) **Signals suspended under provision of Rule 566.1** - The movement must be authorized by signal indication or Rule 564 into the controlled location, before being issued the Rule 566/ 566.1 authority. When the movement has accepted the signal, Rule 566/566.1 authority will be issued by the RTC. When switching is completed the movement should be back clear of the signal and the selector lever on dual control switch restored to power position. If the movement is unable to be clear of the controlled location when switching is completed, the selector lever must be restored to power position and the train must advise the RTC before leaving the location. If the first move into the block was authorized by Rule 564, movement to the next signal must be made at restricted speed.

(iv) **Taking Head-Room** - A train or engine may accept a signal to enter a controlled location from non-main track, where the intent of the move is to immediately reverse direction so as to be completely in the clear on non-main track. The RTC must give verbal permission to the train or engine before the signal is accepted and it is for one head room move only.

574. CTC SUSPENDED

When all or part of the CTC is withdrawn from service, trains and engines will be governed by special instructions, GBO or DOB.

575. DELAYED IN THE BLOCK

When a train or engine, which has entered a block on signal indication permitting movement at other than restricted speed, is stopped or otherwise delayed in the block, it must approach the next signal prepared to stop, unless or until such signal displays a more favourable indication than Stop or Stop and Proceed.

577. RADIO BROADCAST REQUIREMENTS

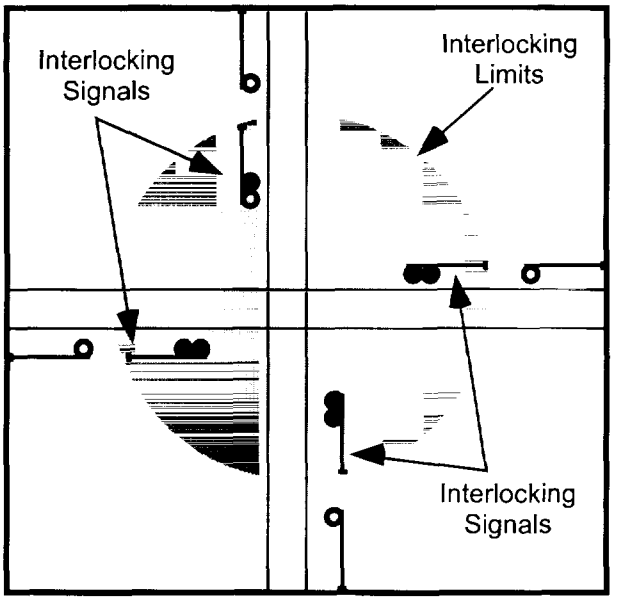
Within single track CTC or in multitrack where specified in special instructions, a member of the crew on passenger and cabooseless trains must initiate a radio broadcast to the airwaves on the designated standby channel stating the name of the signal displayed on the advance signal to the next controlled location or interlocking.

Examples:

"CN 5263 West, Clear signal to Baker"

"VIA 93, Clear to Stop to Interlocking Mile 4.2 Horsefly Sub"

INTERLOCKING RULES



DEFINITIONS:

DUAL CONTROL SWITCH - A switch equipped for powered operation, also equipped for hand operation. Most dual control switches operated in "power" position are remotely operated by the RTC or signalman. Locally Controlled switches are operated by push buttons located at the switch location or by Radio control codes and are usually self restoring switches.

INTERLOCKING - An arrangement of interconnected signals and signal appliances for which interlocking rules are in effect.

INTERLOCKING LIMITS - The tracks between the extreme or outer opposing interlocking signals of an interlocking.

INTERLOCKING SIGNAL - A fixed signal at the entrance to or within interlocking limits to govern the use of the routes.

POWER-OPERATED SWITCH - A switch equipped for powered operation, but not equipped for hand operation.

ROUTE - The track a train or engine will use in passing from one location to another.

SIGNAL INDICATION - The information conveyed by a fixed signal.

601. APPLICATION

Interlocking signal indications govern the use of the routes and authorize the movement of trains and engines within interlocking limits.

97. INTERLOCKING IN USE

A train or engine will be governed by interlocking rules within interlocking limits.

98. APPROACHING DRAWBRIDGES AND RAILWAY CROSSINGS AT GRADE

(a) Special instructions will specify the maximum speed for a train or engine entering a drawbridge or a railway crossing at grade. The maximum speed must not be exceeded until the entire movement has passed the drawbridge or railway crossing at grade.

(b) A train or engine must stop before any part of the movement passes the governing stop sign at a non-interlocked drawbridge or at a non-interlocked railway crossing at grade. If no conflicting movement is evident and the route is properly lined, the movement may resume. Special instructions will govern when there is an attendant in charge.

602. PROPER SIGNAL INDICATIONS REQUIRED

(a) Except in case of emergency, radio or hand signals must not be used to control the movement of trains and engines when the proper indication can be displayed by the interlocking signals.

(b) A train or engine stopped by the signalman, other than by means of signal indication, while approaching, or within an interlocking, must not move in either direction until the proper signal or instructions have been received from the signalman.

(c) When a train or engine stops with its trailing end within interlocking limits, it must not move in the opposite direction without the proper interlocking signal indication, or permission from the signalman.

603. REAR PROTECTION

Rear flag protection is not required within interlocking limits, unless otherwise directed by special instructions.

604. ESTABLISHING AND CHANGING ROUTES

When necessary to change any route for which signals have been cleared for an approaching train or engine, such signals may be restored to indicate Stop. However, no part of the route may be changed, nor signals cleared for a train or engine on a conflicting route, until the signalman has verified that;

(i) the train or engine for which signals were first cleared has stopped in response to the Stop indication; or

(ii) no part of the train or engine has passed the advance signal and the locomotive engineer has acknowledged that the train or engine is prepared to stop short of the interlocking signal.

605. DELAYED IN TIMING CIRCUIT

A train or engine approaching an automatic interlocking, equipped with a timing circuit, must approach the interlocking signal prepared to stop if occupying the timing circuit in excess of the time specified in special instructions.

At automatic interlockings not equipped with a timing circuit, a train or engine occupying the track between the advance signal and the interlocking signal in excess of 5 minutes must approach the interlocking signal prepared to stop.

606. STOP SIGNAL PASSED WITHOUT AUTHORITY

(a) If a train or engine passes an interlocking signal indicating Stop without authority, crew members must make every effort to protect the train or engine by any available means, including the use of flags, lights, fusees, emergency radio calls or combinations thereof. At a controlled interlocking, the signalman, if on duty, must be notified immediately.

(b) If any part of such train or engine moves through the interlocking into CTC, Rule 572 applies.

(c) When notified that a train or engine has passed a signal indicating Stop without authority, or in case of apparent disregard of signals, the signalman must stop all trains or engines affected, by any means available.

607. RULE APPLICABLE AT A STOP SIGNAL

When an interlocking signal indicates Stop and no conflicting train or engine is evident, the following will apply:

TYPE OF INTERLOCKING (as indicated in special instructions)	APPLICABLE RULE
Manual	608
Locally-Controlled	609 or 609.1
Remotely-Controlled	610
Automatic	611

608. MANUAL INTERLOCKING

Trains or engines operating through the limits of a manual interlocking will be governed by special instructions.

609. STOP SIGNAL LOCALLY-CONTROLLED INTERLOCKING

(a) When a train or engine is stopped by a locally-controlled interlocking signal indicating Stop, and no conflicting train or engine is evident;

(i) a crew member must immediately communicate with the signalman. Such communication must include the occupation and name of the crew member, the train or engine designation, signal number, if any, and location;

(ii) the signalman may authorize such train or engine to pass the signal, but before doing so, the signalman must provide protection against all conflicting trains or engines; and

(iii) the train or engine so authorized must move at restricted speed to the next signal or Block End sign and will be governed by Rule 104.1 at spring switches, Rule 104.2 at dual control switches and Rule 104.3 at power-operated switches.

(b) No movement may be made until the locomotive engineer has been informed of the situation.

609.1. STOP SIGNAL LOCALLY-CONTROLLED INTERLOCKING (CLOSED)

When the signalman is off duty at a locally-controlled interlocking, a train or engine stopped by an interlocking signal indicating Stop will be governed by special instructions.

610. STOP SIGNAL REMOTELY-CONTROLLED INTERLOCKING

(a) When a train or engine is stopped by a remotely-controlled interlocking signal indicating Stop, and no conflicting train or engine is evident;

(i) a crew member must immediately communicate with the signalman. Such communication must include the occupation and name of the crew member, the train or engine designation, signal number, if any, and location;

(ii) after ensuring that there is no conflicting train or engine in the route to be used, and that all devices controlling signals governing conflicting trains or engines are blocked at Stop, the signalman may authorize the train or engine to pass the Stop signal. The authorization must specify the route to be used, and must be in writing; and

(iii) the train or engine so authorized must move at restricted speed to the next signal or Block End sign and will be governed by Rule 104.1 at spring switches, Rule 104.2 at dual control switches and Rule 104.3 at power-operated switches. If there is a railway crossing at grade equipped with a box marked "switches" within the interlocking, the provisions of Rule 611 apply.

(b) No movement may be made until the locomotive engineer has been made aware of the route to be used.

611. STOP SIGNAL AUTOMATIC INTERLOCKING

(a) When a train or engine is stopped by an automatic interlocking signal indicating Stop, and no conflicting train or engine is evident;

(i) a crew member, after opening the box marked "switches", will observe panel lights, where provided. If those of the conflicting route(s) are lighted and no conflicting train or engine is evident, the crew member will open the switch and may then allow the train or engine to proceed;

(ii) (MULTITRACK) in the box marked "switches" where lights are provided to indicate the approach of a train or engine, if those of the conflicting route and those of the same railway on the adjacent track are lighted and no train or engine is seen approaching, the crew member will open the switch and may then allow the train or engine to proceed;

(iii) where lights are not provided, or where those of the conflicting route(s) are not lighted, the crew member, after opening the switch, must wait five minutes, unless a greater period is specified in special instructions and posted in the box marked "switches", before permitting the train or engine to proceed;

(iv) after complying with (i), (ii) or (iii) the train or engine may then move at restricted speed to the next signal or Block End sign; and

(v) after the train or engine has occupied the crossing, the switch must be closed and the box marked "switches" locked.

(b) Where a pushbutton is provided, to enable a return movement to be made over the crossing, the crew member will open the box, depress the pushbutton and be governed by signal indication. If the signal fails to clear, the instructions contained in paragraph (a), clauses (i), (ii), (iii), (iv) and (v) must be complied with.

612. STOPPED FOUL OF SIGNAL

When a train or engine, which has accepted an indication of an interlocking signal permitting it to proceed, stops before the leading unit or car has completely passed such signal, it may then proceed only after receiving permission from the signalman or under the provisions of Rule 611.

613. APPROACHING INTERLOCKING LIMITS

At a location not protected by an advance signal, a train or engine must approach interlocking limits prepared to comply with a signal indicating Stop.

614. LEAVING INTERLOCKING IN CTC

When an interlocking is located in CTC, the indication of the last interlocking signal, in the direction of movement, also governs movement to the next signal or Block End sign. If necessary to pass such signal in accordance with Rule 609, 610 or 611, unless otherwise specified in special instructions, Rule 564 also applies at the signal to govern movement beyond the interlocking limits.

615. SINGLE UNIT OF EQUIPMENT RESTRICTED

A single unit of equipment must not be left standing on the movable portion of an interlocked drawbridge or within the interlocking limits of a railway crossing at grade.

616. DAMAGE TO INTERLOCKING

When it is known or suspected that:

(i) a derailment has occurred; or

(ii) track, appliances or signals are damaged or malfunctioning;

the signalman must block all controls for signals governing trains or engines over the affected routes at Stop. No train or engine movements may then be permitted until the signalman has established that trains or engines may pass safely.

617. DISCONNECTING TRACK PARTS OR LOCKING DEVICES

Before any train or engine is permitted to pass over any movable track part or locking device which has been disconnected, all movable track parts affected must be spiked or secured in the required position and their controls blocked to prevent them being operated.

618. JOINT AUTHORITY TRAIN OR ENGINE AND TOP

(a) A train or engine may be authorized to occupy the limits of a TOP within a controlled interlocking. Each time a train or engine is so authorized, the authority must be in writing and in the following form:

Joint authority granted with

Foreman _____

(name)

between _____ and _____

(location) (location)

_____ must not proceed

(train or engine) until instructions have been received from Foreman_____.

(name)

(b) No movement may be made until the conductor and locomotive engineer are aware of the authority granted and have received specific instructions from the foreman named in the joint authority. Such instructions must be repeated to, and acknowledged by, the foreman before being acted upon.

(c) The signalman must maintain signal blocking against all trains and engines and must not authorize another train or engine, or issue another TOP to apply, within the protected limits until the authority granted under this rule has been cancelled. The cancellation does not take effect until it has been correctly repeated and acknowledged by the conductor and locomotive engineer. The conductor and locomotive engineer must acknowledge the cancellation by repeating the cancelled time and the initials of the signalman to the signalman. Other members of the crew must immediately be advised of the cancellation and all copies of the cancelled authority must be destroyed.

NOTE: Signal blocking applied to protect the TOP must be maintained until the TOP is cancelled to the foreman. The cancellation does not take effect until it has been correctly repeated and acknowledged by the foreman. The foreman must acknowledge the cancellation by repeating the cancelled time and the initials of the signalman to the signalman.

619. TRANSFER BY SIGNALMEN

When relieved of duty, a signalman must make a transfer in a book or on a form provided for that purpose, of TOP and other authorities in effect. The transfer must include other necessary information and must be signed by both the relieved and the relieving signalman.

CANADIAN NATIONAL RAILWAYS

Requirements For Compliance to

CANADIAN RAIL OPERATING RULES

PROTECTION OF TRACK UNITS AND TRACK WORK

FOR USE ON

CANADIAN NATIONAL RAILWAYS

WITHIN CANADA.

THESE RULES INCLUDE ONLY THOSE CROR RULES THAT APPLY TO CN OPERATIONS AND INCLUDE MODIFICATIONS AND INSTRUCTIONS APPLICABLE HERETO.

MARCH 1, 2002

RULES FOR THE PROTECTION OF TRACK UNITS AND TRACK WORK

TABLE OF CONTENTS

NOTICE

In addition to the rules contained herein, all applicable rules contained in the CN version of the CROR must be observed.

Except in case of emergency, a foreman must obtain permission from the RTC and advise the signal maintainer before commencing any track work which will interfere with the signal system. In addition, foremen must keep informed as to the location of trains and must not open a main track switch or perform any work which could cause a block or interlocking signal to display a more restrictive indication to a train or engine than was intended by the RTC or signalman.

When other special instructions indicate that a TOP may be used to protect track work or a track unit on a non-signalled non-main track, Rule 49 is applicable on that track.

DEFINITIONS

TRACK UNIT (TU) - A machine that operates on a railway track and is used in connection with construction or work on, or inspection of, a railway track.

TRACK UNIT SPEED - Unless authorized to operate at Special Track Unit Speed, a track unit must operate at a speed that;

(a) permits a track unit to stop within one-half the range of vision of equipment or a track unit;

(b) permits a track unit to stop short of a switch not properly lined or any obstruction or track defect that may prevent safe passage;

(c) does not exceed the authorized freight train speed, and where applicable the authorized passenger train speed, whichever is less; and

(d) does not exceed the maximum speed authorized for that track unit.

TRACK OCCUPANCY PERMIT (TOP) - Permit(s) issued for the protection of track units and track work.

SPECIAL TRACK UNIT TOP - A TOP that authorizes occupancy of a track by one track unit. Note: Track unit must operate at Track Unit Speed but need not comply with the requirement to operate at a speed that will permit stopping within 1/2 the range of vision of equipment or a track unit.

TRACK WORK - Any work that may, during the course of the work, render the track unsafe for train or engine movements at normal speed and any work on or near the track that necessitates protection of employees or machines.

WORK TRAIN - A train authorized to move in both directions within specified limits.

PROTECTION FOR A TRACK UNIT

803. Before a track unit is permitted to foul or occupy a **main** track the foreman must be authorized;

(a) as prescribed by Rule 42;

(b) under the authority of a TOP; or

(d) under the authority of a Foreman's OCS clearance.

804. Before a track unit is permitted to foul or occupy a **signalled** siding or other **signalled** track the foreman must be authorized;

(a) as prescribed by Rule 42; or

(b) under the authority of a TOP.

805. On CTC subdivisions specified in the time table or special instructions, before a track unit is permitted to foul or occupy a non-signalled siding, the foreman MUST be authorized under the authority of a TOP.

806. Foremen MAY obtain a TOP to protect track units on all non-signalled sidings in CTC where rule 805 is not applicable.

PROTECTION OF TRACK WORK

807. Before any track work is started on a **main** track the foreman must be authorized;

(a) as prescribed by Rules 40.3 or 42;

(b) under the authority of a TOP; or

(c) under the authority of a Foreman's OCS clearance.

808. Before any track work is started on a **signalled** siding or other **signalled** track the foreman must be authorized;

(a) as prescribed by Rule 42; or

(b) under the authority of a TOP.

809. Before any track work is started on a siding, other than a signalled siding, the foreman must be authorized;

(a) in CTC, under the authority of a TOP;

(b) in OCS, as prescribed by Rule 40.1.

TRACK OCCUPANCY PERMITS

312. CLEARANCE IN LIEU OF TOP

In OCS, a clearance will be issued in lieu of TOP and Rules 49, 49.2, 49.3, 81, 81.2, 88, 81.3, 82, 82.1, 82.2, 305, 306. 307.1, 85.1, 308, 308.1 and 311 apply.

810. A TOP must be issued in the prescribed form.

811. When a switch location is used to identify the limits of a TOP, the authority extends to the fouling point with the other track.

4

49. TRACK OCCUPANCY PERMIT (TOP)

CN RAIL TU TW

(a) When authorized by a TOP, track units may be operated and track work may be carried out on the main track without flag protection.

(b) The limits of a TOP must be defined as between two identifiable locations, such as;

(i) whole miles;

(ii) specific siding switches;

(iii) other main track switches specifying location or stating mileage;

(iv) specific signals identified by number;

(vi) station names.

NOTE: When station names are used to define the limits of a TOP, the authority does not include the use of the main track between the siding switches at either of the stations named. At a location where there is no siding, the authority begins or ends at the station name sign.

(c) In SINGLE TRACK CTC, if authorized by TOP to use any track at a controlled location, such authority applies on all tracks within that controlled location, including where one main track becomes two main tracks.

EXCEPTION: this instruction is not applicable:

(i) at crossovers

(ii) at spring switches

(iii) at locations where turnouts or connecting tracks join adjacent signalled tracks.

812. When TOP authority is requested, the communication with the RTC must include the name and location of the foreman, the required limits and the track or tracks to be used.

813. A TOP once in effect continues so until cancelled or superseded.

814. Before acting under the authority of a TOP, a foreman in charge of one track unit must;

(a) read the TOP aloud to the employees accompanying the track unit to make them aware of its contents; and

(b) require those employees who have been successfully examined in these rules and hold a valid certificate of rules qualification to read and initial the TOP.

815. Before acting under the authority of a TOP, a foreman in charge of the protection of track work or in charge of more than one track unit must;

(a) read the TOP aloud to at least one other employee who has been successfully examined in these rules and holds a valid certificate of rules qualification in order to make such employee(s) aware of its contents; and

(b) when conditions permit, require those to whom the TOP is read aloud, as required by clause (a), to read and initial the TOP.

Procedures for Protecting Separated Work Groups

Whenever possible, an employee requiring protection should obtain the necessary authorization issued to himself individually.

When operating conditions will not allow this, the employee in charge of the separated work group must comply with the following instructions:

(i) The employee in charge of the separated work group must be rules qualified.

(ii) Before allowing any work to commence under the authority of a TOP, clearance or Rule 42, the foreman named on the authority must transmit the contents of the authority, in exactly the same form as it was received from the RTC to the employee(s) in charge of the separated work groups.

(iii) the employee copying this information must repeat it back to the foreman, who will check and underscore it as it is repeated back to him.

(iv) If repeated correctly the foreman will advise the employee that it was repeated correctly and they will compare time.

(v) Before allowing any work to commence under the protection of the authority, the employee in charge of the separate work group will apply Rule 815 (a) or (b) with any employees accompanying him.

(vi) When the employee in charge of the separated work group no longer needs protection, he will advise the foreman.

(vii) The foreman named on the authority must enter the names of the employees in charge of the separated work group(s) in the space provided for that purpose on the authority.

(viii) Before permitting a train or engine to enter the working limits, the foreman must:

- enter the designation and location of the train or engine on the clearing record;
- advise the employee(s) in charge of the separated work group that a train or engine will be passing through the work limits;
- receive confirmation from the employee(s) in charge of the separated work groups that all employees and machines are clear of the track;
- place a check mark in the box whose number corresponds with that of the separated work group;
- record the time the train or engine was authorized to enter the work limits as well as the authorized route, on the clearing record.

(ix) Before allowing the separated work groups to recommence work within the limits, the foreman must ensure that any train or engine authorized has departed the working limits.

(x) Before cancelling the authority or before the time limits have expired on a Rule 42, the foreman must contact the employees in charge of separated work groups and receive confirmation that all employees and machines are clear of the track.

816. When a foreman fails to comply with a TOP, an employee who has been made aware of the contents of the TOP must immediately remind the foreman of the contents.

817. Except as provided by Rule 821 and subject to the conditions of CROR Rule 49.3, more than one TOP may be issued to protect track units and track work within the same or overlapping limits.

The following special instructions will apply to TOP and OCS Clearances.

Where limits of TOPs or OCS Clearances overlap or partially overlap, only the original Foreman and two conflicting Foremen will be allowed within the limits of an authority. Separated Track Units or visiting Foremen to the limits of an original Foreman are not permitted. Each Foreman must have his own TOP or OCS Clearance.

At the time a Foreman requests authority to occupy the track(s), the RTC must provide information regarding the presence of any other Foremen with a TOP/OCS Clearance within the proposed limits of the authority to be issued and the names of other Foreman holding permits/clearances within or overlapping within the requested limits.

E.g. Conflicting OCS Clearance Foreman Smith who holds OCS Clearance authority between Borden and Cantic. If there are no other Foremen authorized within the limits the RTC will indicate "No TOP/Clearance conflict".

The Foreman must copy onto the TOP or OCS Clearance form the information provided by the RTC and repeat it for accuracy.

Prior to entering any conflicting limits the Foreman must:

- Contact all other foremen holding permits within the overlapping limits
- Obtain a definite understanding in writing as to each other's movements and the protection to be provided.

Each foreman must maintain a written record of the understanding. All new and follow-up understandings must be in writing.

Examples of written understandings are as follows:

"I am in the clear at Able, okay through my limits with no restrictions, call me when you clear the limits."

"I am working east of mile 16, do no pass mile 16 without contacting me."

"I am proceeding eastward and have passed mile 22, you may follow to mile 22 and contact me prior to passing mile 22."

The understanding must be repeated to the sender to ensure correctness.

If communication fails after an understanding has been made, no movement other than that last arranged may be made.

Regardless of understandings between Foremen the provisions of TRACK UNIT SPEED must be complied with at all times.

Immediately upon leaving the limits of an authority, or cancelling an authority, the foreman shall advise all other Foreman holding permits with overlapping limits of such departure and/or cancellation.

The requirements of an understanding to be IN WRITING will not apply to a single foreman with several machines or track units operating under his DIRECT supervision. In such cases a comprehensive JOB BRIEFING is required with all Track Unit/Machine Operators under the Foreman's jurisdiction prior to work commencing.

818. Only the foreman may instruct a train or engine to enter or move within the limits of a TOP or Forman's OCS clearance in accordance with CROR Rule 311, 567.1 or 618.

819. Before a Special Track Unit TOP is issued to provide occupancy of the track by one track unit, the RTC must verify that;

(a) no other TOP is in effect within the limits to be covered by the proposed TOP;

(c) the foreman is in possession of all applicable GBO, DOB or TGBO.

820. When a Special Track Unit TOP is in effect the RTC must;

(a) not issue another TOP to be in effect within the limits of the Special Track Unit TOP;

(c) not issue Form Y or Form V example (1) to be in effect within the limits of the Special Track Unit TOP; and

(d) not issue Form DL or Form T to be in effect within the limits of the Special Track Unit TOP.

821. When a Special Track Unit TOP is issued it must be indicated in the appropriate section of the TOP.

822. A track unit authorized to move as a special track unit must be able to stop within 1/2 the range of vision of a track unit, 1000 yards before reaching the working or defective point protected by CROR Rule 42 or 43, and move at this speed until the track unit has passed the working or defective point.

823. When one or more trains or engines remain within the limits to be covered by a TOP, the RTC may issue a TOP to a foreman, provided such trains or engines are authorized to proceed in the same

direction and have left the location where the foreman will enter the limits of the TOP. The RTC must;

(a) not issue the TOP to the foreman except at the location where the foreman will enter the limits of the proposed TOP;

(b) not issue the TOP if any of the trains or engines are authorized to make a reverse movement within the limits of the proposed TOP;

(c) not authorize any of the trains or engines to make a reverse movement within the limits of the proposed TOP;

(d) before issuing the TOP, verify that each train or engine has left the location where the foreman will enter the limits of the proposed TOP; and

(e) on the TOP, designate the last train or engine authorized to proceed, and indicate the time and location where the designated train or engine has left.

824. When a TOP has been issued to a foreman and one or more trains or engines remain within the limits of the TOP, the foreman must;

(a) not enter the limits of the TOP except at or behind the location which the designated train or engine has left;

(b) not permit other employees, for whom the foreman is responsible, to enter the limits of the TOP except at or behind the location which the designated train or engine has left;

(c) not pass, nor permit any employee for whom the foreman is responsible, to pass the designated train or engine within the limits of the TOP; and

(d) if issued a Special Track Unit TOP, in addition to the requirements of special track unit speed, operate at a speed which will permit the track unit to stop short of a preceding train or engine, until it is known that the designated train or engine has left the limits of the TOP.

825. Before a TOP is cancelled the foreman must;

(a) ensure that any track unit(s) for which the foreman is responsible are clear of the track; and

(b) ensure that the track within the limits of the TOP is safe for train or engine movements at normal speed, or is protected as prescribed by CROR Rule 43; or

(c) ensure all track units or track work for which the foreman is responsible are protected as prescribed by CROR Rule 42; or

(d) be issued a new TOP to include the track affected by the track work or fouled or occupied by the track unit(s).

826. When a TOP is no longer required;

(a) the foreman must promptly advise the RTC, stating the foreman's name, the TOP number and the limits of TOP;

(b) the RTC must cancel the TOP by stating to the foreman the TOP number, the foreman's name, the limits of the TOP, the cancellation time and the initials of the RTC;

(c) the foreman must acknowledge the cancellation by repeating the TOP number, the cancelled time and the initials of the RTC to the RTC; and

(d) the cancellation does not take effect until it has been correctly repeated and acknowledged by the foreman.

827. After a TOP has been cancelled, the foreman must draw an "X" across the TOP to avoid further use and advise employees who have been made aware of the contents of the TOP of such cancellation.

828. When an accident or an incident occurs, which relates to a TOP, the foreman must retain the copy of the TOP until the accident or incident has been investigated.

829. The movement of a track unit over drawbridges and over railway crossings at grade within the limits of a TOP is subject to Rules 834-843.

830. On a subdivision or portion of a subdivision where Rule 805 or 809 is in effect, the RTC must not issue a TOP to apply on a siding other than a signalled siding where there are trains or engines operated whose movements cannot be controlled by the RTC.

831. Before issuing a TOP within CTC or within a controlled interlocking, the RTC must when practicable, line and block track switches to prevent trains or engines from entering the limits of the TOP.

49.2. BEFORE ISSUING TOP AUTHORITY

Before issuing TOP authority, the RTC (or signalman within an interlocking) must;

(i) ensure there is no conflicting train or engine within, or authorized to enter, the TOP limits to be granted unless such train or engine has been restricted in accordance with Rule 311, Rule 567.1 or Rule 618; and

(ii) in CTC and controlled interlockings, block at Stop all devices controlling signals governing the movement of trains or engines into the limits to be granted. Signal blocking applied to protect a TOP must be maintained until the TOP is cancelled to the foreman.

49.3. SAME OR OVERLAPPING TOP LIMITS

The RTC (or signalman within an interlocking) must not authorize a train or engine to enter TOP limits when such limits are the same as or overlapping other TOP limits.

832. At a location where a signal controls the movements of trains or engines over more than one route and where it is not practicable to block the signal at Stop, switches must be lined and blocked away from the protected track by the RTC.

833. The RTC must not remove any switch blocking applied to protect the TOP until the TOP has been cancelled.

TRACK UNIT MOVEMENTS THROUGH INTERLOCKINGS

The following rules apply to track unit movements through interlockings.

Drawbridge	837
Manual Railway Crossing at Grade	838
Locally-Controlled Railway Crossing at Grade	839
Remotely-Controlled Railway Crossing at Grade	839
Automatic Railway Crossing at Grade	840
Other	836

836. A foreman operating a track unit must stop the track unit before passing the signal governing movements into an interlocking, other than an interlocked drawbridge or an interlocked railway crossing at grade. Further movement must not be made until a separate TOP for the interlocking has been received from the signalman.

837. A foreman operating a track unit must stop the track unit before passing the signal governing movements over an interlocked drawbridge. Further movement must not be made until verbal authority, a hand signal or separate TOP for the interlocking has been received from the signalman. If there is no signalman on duty, the track unit may proceed after the foreman has ascertained that the route is properly lined.

838. A foreman operating a track unit must stop the track unit before passing the signal governing movements over a manual interlocked railway crossing at grade. Further movement will be governed by special instructions.

839. A foreman operating a track unit must stop the track unit before passing the signal governing movements over a locally-controlled or remotely-controlled interlocked railway crossing at grade. Further movement must not be made until verbal authority, a hand signal or separate TOP for the interlocking has been received from the signalman. If all attempts to communicate with the signalman fail, or the interlocking is closed, the foreman must;

(a) if no conflicting train or engine is evident, unlock the box marked "switches" located at the

interlocking and, after opening the switch, must wait 5 minutes or such greater time as may be posted in the box before permitting the track unit to proceed;

(b) not close the switch until the track unit has cleared the interlocking limits; and

(c) where the switches are not provided the foreman must follow the instructions posted in the box marked "switches" or contained in special instructions.

840. A foreman operating a track unit must stop the track unit clear of the conflicting route of an automatic interlocked railway crossing at grade, and

(a) if no conflicting train or engine is evident, the foreman must unlock the box marked "switches" located at the interlocking and, after opening the switch, must wait 5 minutes or such greater time as may be posted in the box before permitting the track unit to proceed. The required waiting period need not be observed when occupancy indication lights on the conflicting route(s) are illuminated; and

(b) the foreman must not close the switch until the track unit has cleared the conflicting route(s).

EXCEPTION: A track unit that affects the signal system must stop before passing the signal governing movements over the automatic interlocked railway crossing at grade and then be governed by (a) and (b) above.

841. Before giving verbal authority or a hand signal to proceed as prescribed by Rule 837 or 839 the signalman must;

(a) ensure there is no conflicting train or engine within, or authorized to enter the interlocking limits;

(b) block at STOP all devices controlling signals governing the movement of trains or engines into the interlocking limits; and

(c) maintain the blocking until the foreman has reported the track unit is clear of the interlocking limits.

TRACK UNIT MOVEMENTS OVER NON-INTERLOCKED DRAWBRIDGES AND OVER NON-INTERLOCKED RAILWAY CROSSINGS AT GRADE

842. An employee operating a track unit must stop the track unit at the governing stop sign at non-interlocked drawbridges and must not permit the track unit to proceed until it has been ascertained that the route is properly lined. Special instructions will govern when there is an attendant in charge.

843. An employee operating a track unit must stop the track unit at the governing stop sign at non-interlocked railway crossings at grade and must not permit the track unit to proceed until it has been ascertained that no conflicting train or engine is evident.

TRACK UNIT MOVEMENTS OVER POWER-OPERATED AND DUAL CONTROL SWITCHES

844. When a track unit is required to move over a power-operated switch;

(a) the switch must be lined by the RTC, except where the RTC gives permission to the foreman to have it operated by a qualified employee; and

(b) when a power-operated switch is operated by a qualified employee, and after the track unit has cleared the switch points, the foreman must immediately advise the RTC.

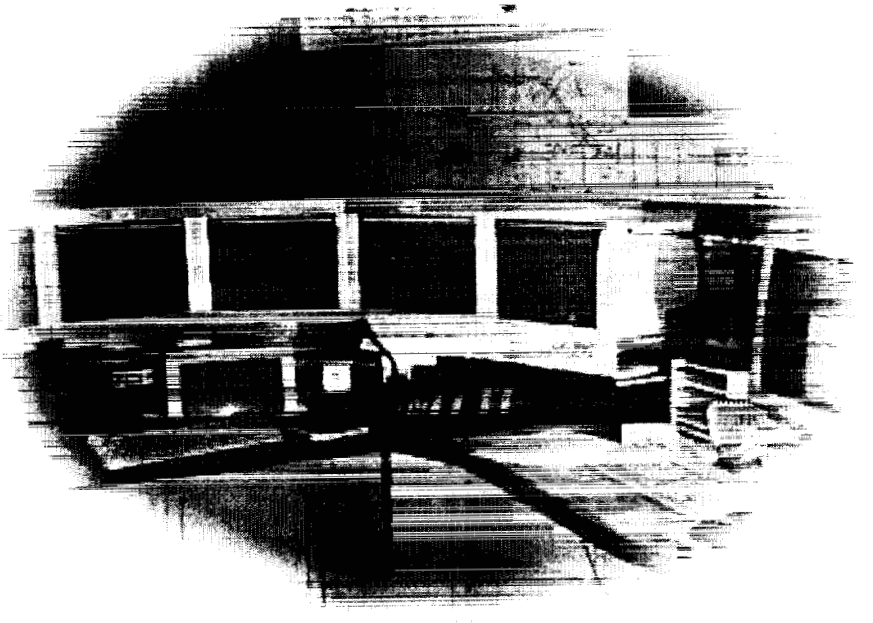
845. When a track unit is required to move over a dual control switch that is not lined for the required movement of the track unit:

(a) the foreman must request that the RTC line the switch and confirm to the foreman that it is lined and locked for the requested route except where the RTC gives permission to the foreman to operate such switch in the "hand" position; and

(b) when a dual control switch is operated by the foreman in the "hand" position, and after the track unit has cleared the switch points, the foreman must ensure that the selector lever has been restored to the "power" position and locked and immediately advise the RTC.

846. When the foreman is unable to contact the RTC, the foreman must operate a dual control switch by hand or arrange to have a power-operated switch operated by a qualified employee. The RTC must be notified as quickly as possible.

RAIL TRAFFIC CONTROLLERS' MANUAL



MARCH 1ST, 2002.

THE FOLLOWING ARE THE 7 TABS TO BE INCLUDED IN THE MANUAL:

GENERAL / GÉNÉRALE

OCS / ROV

CTC / CCC

TU / VE

CONTROL SYSTEM / SYSTÈME CONTRÔLE

EMERGENCY / URGENCE

RTCC / INSTR. / CCCF

PREFACE

NOTICE

This manual is the property of CN Rail and was written for the use of Rail Traffic Controllers in the application of the requirements of the Canadian Rail Operating Rules, Special Instructions and other railway procedures applicable.

Each RTC is responsible for keeping the manual current with insertion of any revisions or new material.

This manual is effective March 1st, 2002 superseding preceding RTC manual.

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CN

RAIL TRAFFIC CONTROLLERS' MANUAL (RTCM)

TABLE OF CONTENTS

SECTION SUBJECT

SECTION 1

700. RAIL TRAFFIC CONTROLLER RESPONSIBILITIES

A. Reports directly to the Manager RTCC and will give instructions and/or guidance to railway employees as may be required.

B. Report for duty rested and fit, clear of any condition or influence that may adversely affect their ability to perform duties efficiently.

C. Understand, plan and coordinate movement of trains, engines, track units and work programs, respecting traffic priorities when performing control functions, to minimize train delay.

D. Protect the operational safety of train, engine and track unit movements within assigned territory.

E. Maintain qualification standards and familiarization with instructions contained in applicable manuals.

F. Ensure that a current CN Operating Manual, RTC Manual, monthly re-issue of bulletins, and a hard copy of desk backup TGBO and DOB are accessible at the desk or set for easy reference.

G. Provide adjoining RTCs, yardmasters, crew office, other appropriate offices and connecting railways with advance information regarding traffic movements, dimensional loads, etc.

H. Maintain record of traffic movements where applicable, train delays and details of all extraordinary occurrences, on prescribed forms or in the appropriate system in accordance with company instructions.

I. Promptly report to S & C and MCO any problem with computer hardware, software, or malfunction of signal, communication or wayside inspection systems.

J. Advise MCO of any anticipated or actual deviation from the operating plan, and in case of emergency contact the MCO immediately.

K. Must not use office computers; fax machines or other systems for personal use. Additionally they must not install software applications, move or disconnect any office machine.

L. Personal cell phones or electronic devices must not be used unless authorized by MCO.

M. Ensure only S & C personnel perform computer system servicing. RTCs may assist, but only under the direction of S & C.

701. MONITORING COMMUNICATIONS AND CONTROLS

1. An RTC must monitor communications and signal control devices associated with the desk for their controlled territory, which includes but is not limited to the following:

- Control panel activity,
  - Signal/train progression,
  - Moving block occupancy,
  - Unknown block occupancy,
  - Overdue trains/foremen,
  - Loss of block occupancy,
  - Control system irregularities,
- Incoming radio communication;
  - Emergency calls,
  - All field requests, (calls held in queue)
- Control System Alarms;
  - Rule 429 – Stop signal Alarm,
  - Misroute,
  - Unknown occupancy,
  - Tracking errors,
  - Local alarms i.e. tunnel, slide, slump detectors etc.,
  - GBO/message window.

2. When necessary to leave for brief periods, RTC must arrange to have a responsible employee monitor the communications and control devices.
3. When authorized by the Manager RTCC a desk or set may be left unmonitored when there are no trains or engines operating or scheduled to operate and no employees are working on the main track on the subdivision(s) controlled by that desk or set.

702. EMERGENCY RADIO COMMUNICATION TEST

- Emergency radio test are to be conducted as per Rule 125 to ensure emergency communication channel(s) are in operation and that employees are familiar with the emergency radio communication procedures.
- RTC's will, once per shift, contact a train, engine or an engineering employee and direct them to initiate an emergency "test" call.
- If for any reason the test fails, the MCO must be advised and the RTC must again, during their shift, conduct the emergency radio test.
- Records of Emergency Radio Tests must be kept with each Desk or Set.
- Emergency radio calls must be answered promptly by the RTC stating their desk designation.

703. RULE 35 - PROTECTION OF EMERGENT TRACK CONDITION

1. RTC will apply blocking to protect the situation.
2. In the free form field the RTC will indicate the limits, reason for the protection and reporting party.
3. All trains must be stopped and not allowed to pass the defective point until the track has been inspected and reported passable.

Note: Track supervisor may authorize train to proceed before inspection has been completed.

4. The RTC will advise the MCO and appropriate engineering officer as soon as possible.
5. In exceptional circumstances, the RTC may be authorized by the MCO to issue GBO protection before an inspection has been completed.

704. ENTERING GBO PROTECTION INTO THE GBO CONTROL SYSTEM

1. **When responding to a GBO request, the RTC must:**
   - Enter the request into the GBO system;
   - Read, evaluate and respond to all **"System Warning Messages";**
   - Repeat request to requesting employee (if applicable);
   - Create the GBO in applicable format;
     I.e. Tabuler format,
     Transmit format,
     GBO for Other Subs format.
   - Review all entered information and if correct save the GBO request.

   Note: The information can be considered as saved once the exception list is generated.

2. **GBO effective immediately;** The RTC must protect exceptions (trains in possession of a TGBO that don't have the new restriction) by:
   - First applying blocking for the GBO in the control system;
   - Indicating to the TGBO System which trains will require the GBO;
3. **Issue GBO:**
   - GBOs within DOB limits must be protected until it has either been cancelled or is included on the next day's DOB;
   - Rule 42 or 43 GBOs effective in the future: RTC does not have to protect the GBO until the confirmation for the GBO is issued to the foreman. Documentation exceptions if any generated by the GBO system at the time the confirmation is issued MUST be protected as per in item 2 above.
4. **Confirmation of GBO to foreman:**
   - Issue confirmation from the GBO system;
   - Protect any exceptions;
   - Verify foreman's repeat from the GBO Screen as it is being repeated, and if correct, make complete. Alternatively, a confirmation may be faxed to the foreman.

   Note: Confirmations should not be FAXED to field locations unless the foreman, to whom the confirmation is addressed, has specifically requested the confirmation be faxed and is at the location of the FAX machine.

705. CANCELLING A GBO IN GBO SYSTEM

- Highlight the applicable GBO on the GBO Summary and select the cancel option;
- Ensure the correct GBO has been selected by reading, from the GBO displayed, to the employee;
  - the type of GBO,
  - the GBO number, if necessary,
  - the applicable track(s) and limits,
  - "Is that correct?"
- If correct, enter "Y" and the GBO is removed form the system;
- If incorrect, enter "N" and start over;
- Indicate to the GBO System the TGBO documents requiring protection.
- Issue cancellation GBO as required.

Note: Within DOB limits a cancellation GBO is always created and remains in effect until the DOB is retired.

706. CREATING A TGBO

- Enter the correct route code;
- Enter the correct train designation;
- Ensure the "location" and FAX number listed are correct. If incorrect, or an alternate FAX number is to be used, ensure the "location" field reflects the FAX number location;
- Enter any applicable Train Specific GBOs;
- For work trains, local switchers, etc. the RTC should include: "This TGBO is cancelled at.....";
- If applicable, enter any "Instructions For Your Train" information;
- Send the TGBO sufficiently in advance of the train departure to prevent delay.

Note: The RTC may place a TGBO in "pending" status for transmission at a later time. The system will not include GBOs in the document until it is sent.

The GBO System will make the TGBO "pending" whenever a GBO is pending, (needs to be authorized by an RTC), is within the limits of the TGBO document. The TGBO will be sent once this GBO has been authorized.

707. CREATING A DOB

- Receive the OK from all RTCs controlling territory within the limits of the DOB;
- Enter the correct DOB route code;
- Ensure the effective time and effective date are correct;
- Send the DOB as close to the scheduled send time, to ensure timely delivery to all field locations.

Note: The RTC may place a DOB in pending status for transmission at a later time.

The GBO System will make a DOB pending whenever a pending GBO, (needs to be authorized by another RTC), is within the limits of the DOB document. The DOB will be sent once this pending GBO has been authorized.

708. REMOVING A TGBO or A DOB FROM THE GBO SYSTEM

There are 3 methods of removing a TGBO; Retire, Purge & Cancel and Cancel to Train.
A DOB may only be retired.

1. **Retire:**

(a) To retire a TGBO or DOB, the RTC must:

- Highlight the applicable TGBO/DOB to be retired;
- Select <Cancel>, then <Retire> function from the TGBO/DOB function menu;
- Enter the document designation to verify the correct selection;
- Ensure the correct TGBO/DOB is displayed, press "Y".

(b) The RTC must not retire a TGBO until:

- The crew is off duty; e.g. TPS or CATS;
- At crew change locations, the RTC sees the outbound train depart;
- The crew confirms that a TGBO for their train is not required anymore and can be cancelled;
- The train leaves the limits of the TGBO, and the TGBO issued to that train indicates the following under Instructions for Your Train portion of the TGBO:
  "This TGBO will be retired by the RTC upon leaving TGBO Limits on arrival at _____(location)";
- A train or engine is issued a new TGBO;
- When special instructions indicate when a TGBO can be fulfilled.

Note: The RTC is responsible to protect suspended TGBOs if such train is going to reenter the RTCs controlled TGBO limits, by ensuring the applicable TGBO is reactivated or issuing a new TGBO if such train's TGBO has been cancelled.

(c) The RTC must not retire a DOB until it has expired.

2. **Purge and Cancel:**

(a) When a TGBO is to be Purged and Cancelled, the RTC must:

- Highlight the applicable TGBO to be Purged and Cancelled;
- Select <Cancel>, then <Purge & Cancel> function from the TGBO function menu;
- Enter the document designation to verify the correct selection;
- Ensure the displayed TGBO is the document to be Purged & Cancelled, and if correct press "Y";
- Ensure confirmation of a successful Purge & Cancel is received in the Alarms and Message window of the GBO System. If the purge and cancel was unsuccessful the RTC must cancel the TGBO directly to the train crew.

(b) When the Purge & Cancel feature has been utilized to effect delivery of a GBO, the RTC must apply blocking and verify delivery of the correct TGBO with the train by verbal communication. This may be accomplished by confirming the number of the TGBO in their possession.

Note: The above instruction is not required if a non-restrictive GBO is sent for delivery and RTC has verified no other RTC on the train's route has input a restrictive GBO.

(c) When an Unsuccessful Purge & Cancel Message is received for a Purge & Cancel function initiated for a train no longer operating, the RTC must:

- Not cancel the TGBO if the train will be reordered within a reasonable time period, or until authorization has been received from the MCO;
- The MCO must not authorize the removal of the TGBO until the disposition of the crew for such train has been determined from the Crew Coordinator and/or Terminal.

3. **Cancelling a TGBO to a train:**

(a) When a TGBO is to be cancelled to a train, the RTC must:

- Highlight the applicable TGBO to be Cancelled;
- Select <Cancel>, then <Cancel to Train> function from the TGBO function menu;
- Enter the document designation to verify the correct selection;
- Ensure the cancellation GBO contains the correct TGBO number;
- Transmit from the prescribed form, all preprinted and RTC entered information;
- Verify the correct receipt of the transmitted information by checking the repeat of the GBO and if correct, make complete.

709. ISSUANCE OF AUTHORITIES

The following general principles apply to the issuance of written authorities.

1. **ISSUING:**
   - Establish communication with the employees involved;
   - Make a record of each authority which is required to be in writing;
   - Except when numbering is controlled by a computer, number each authority uniquely from the assigned numbering series for the desk/set. Each number series must be consecutive, using whole numbers. All numbers in a series may be preceded by a letter, if required. Duplicate numbers must not be in effect at the same time;
   - Include only essential information. It must be brief, but clear in its meaning, in the prescribed form when applicable and without erasure or any condition which may render it difficult to read or understand;
   - Use the exact spelling of each station name as shown in the Time Table;
   - Only state the date of the authority, if of a previous day;
   - Address the authority as per Rule 134;
   - Transmit all preprinted and RTC entered information, clearly pronounce all words and numbers. In addition, numbers will be pronounced in full, then repeated stating each digit separately. Numbers represented by a single digit must be pronounced, then spelled;
   - Issue all authorities at a rate of speed that will allow employees in the field to copy accurately;
   - If an error is detected, prior to the complete time being given (or generated by the system), direct employees to destroy all copies of the authority. The record must be marked VOID. If to be reissued, a new number must be given.

2. **CHECKING:**
   - Verify each written word and digit each time it is repeated, or in a computer assisted system utilize the programmed recheck system as each word and digit is repeated.

3. **COMPLETING AUTHORITIES:**
   - Give the complete time only when each crew member copying has correctly repeated the authority;
   - Respond if correct, complete, the time, and the initials of the RTC;
   - Receive the acknowledgment from the copying employee, who repeats the complete time and the initials of the RTC;

EXCEPTIONS:

- If communication fails before the authority's complete time has been given, treat the authority as if it had not been sent;
- The moment the complete time is generated, consider the authority in effect. However, the RTC must not take further action if there is a restriction contained therein until the complete time has been acknowledged by the employee copying;
- After the complete time is given, additions are not to be made to an authority, except when an address is added to a GBO, or the Call Back time or location is being modified.

710. TRANSFER BETWEEN RTCs

1. Both RTCs must be present when executing all transfers.
2. The TGBO transfer must be executed last, and the time indicated in the GBO System will be accepted as the time all transfers have been completed.
3. Prior to transfer being completed, RTC must ensure that TGBO "Notepad" is up to date, the alarm and message window is clear of all messages, and the RTC has completed the CAMBS and CTC transfers.
4. When executing transfers RTCs must use authorized initials and names as indicated in current time table.
5. The TGBO notepad will be used for recording necessary instructions or information. Notepad must not be used to protect the issuance of a GBO, or to indicate the contents of a GBO.
   E.g. S & C called for defective crossing at mile 5 Able Sub;
   Train 411 to lift at Aldershot.
6. When a transfer is to be made in a General Purpose book:
   - Each authority transferred must have been read, understood and initialled by the relieving RTC;
   - The RTC's signature must be legible (or include PIN as part of the signature);
   - The relieving RTC will record the time the transfer is completed;

711. ACTION REQUIRED TO IDENTIFY, AND ANALYZE UNKNOWN BLOCK OCCUPANCY

A) **Suspected Runaway Equipment**

The RTC must suspect and protect against runaway equipment based on these series of panel indications:

- When an "OS" track drops, followed by, or preceded by block occupancy, "OS" track picks up and the block remains down;
- On territories equipped with intermediate blocks within a controlled block, when two or more of the blocks drop and then pick up in sequence;
- A sequential set of blocks dropping with no apparent cause.

The following actions must be taken by the RTC:

1. "Emergency" broadcast must be transmitted to advise other movements and employees of suspected runaway cars and the estimated location of the equipment.
2. The RTC must consider that the suspected runaway equipment constitutes an immediate emergency and a conflicting movement to all other operations in the vicinity. The RTC must make every effort and utilize every means at his disposal to fully protect the situation.
3. If there are any other movements and/or foremen in the block(s) or authorized to enter the block(s) from which the indications appear, all efforts must be made to contact such movements and/or foremen and advise them of the suspected runaway cars and the estimated location of the cars.
4. After having secured any movements and/or foremen requiring immediate attention a broadcast message must be transmitted on any engineering channels that are available on the selected radio towers in the vicinity.
5. The RTC will advise any other field personnel and/or non-company personnel, who may be in a position to stop the runaway equipment prior to a collision with other equipment and also to provide protection to the company and public, e.g. protection at public crossings at grade.
6. MCO must be advised as soon as these procedures are completed.

Note: When a single unauthorized block or "OS" track occupancy occurs, the RTC will continue to advise S&C. In addition if block occupancy occurs within vicinity of a foreman's working limits and the foreman has not advised RTC that the nature of the work will interfere with signal system, RTC must immediately contact the foreman to determine the cause.

B) **Multiple Blocks Remain Down behind a Train**

The RTC must:

i) Immediately stop suspected train and advise it to do a pull by inspection for defective wheels;

ii) Have the track patrolled where the blocks are down;

iii) Make arrangements to have OCS territory patrolled if train entered CTC from OCS territory and it is suspected that the train is causing or has caused a rail break behind it. The RTC Mech must be advised and they will determine if any car on the suspected train must be set off.

712. RULE 27 - REPORT OF SIGNAL IMPERFECTLY DISPLAYED/DAMAGED

If a signal has been reported malfunctioning, damaged or a signal(s) is out of sequence, the RTC must consider it inoperative and displaying its LEAST restrictive indication.

The RTC must:

(i) Immediately apply blocking to protect situation (Desk, WAM or JJJ);

(ii) Notify all trains approaching or authorized to enter defective block;

(iii) Blocking must remain in place until notified signal and/or block is repaired;

(iv) Item (ii) applies to both intermediate and controlled signals.

713. PROTECTION OF TRACK WORK AND TRACK CONDITIONS

A. RULE 42 (d) FOREMAN'S INSTRUCTIONS IN MULTITRACK TERRITORY

The foreman named in the Rule 42 must instruct the RTC of the route the trains must follow. WAM, Desk or JJJ blocking will be used to protect this agreement. When new instructions are required, foreman must cancel previous agreement and a new routing agreement must be set up.

Foreman's instructions to the RTC: No restrictions for trains operating on any track within my limits;

or

Foreman's instructions to the RTC: No trains to be operated on No 1 track, any restrictions for trains operating on No 2, No 3 or No 4 tracks;

or

Foreman's instructions to the RTC: No trains to be operated on No 1 track, westward trains to be operated on No 2 track, eastward trains to be operated on No 3 track, advise me if routing change is to be made.

Recording Foreman's instructions:

All instructions with or without restrictions must be recorded in writing between the foreman and the RTC before the Rule 42 commences.

All instructions given by the foreman with a routing restriction will be protected by WAM blocking (or JJJ blocking if WAM blocking is not available).

If foreman instructions to the RTC state, there is no routing restrictions, RTC must record this information in the GBO System notepad, General Purpose book or other authorized recording method. This information must be included in all transfers until expiration of the Rule 42.

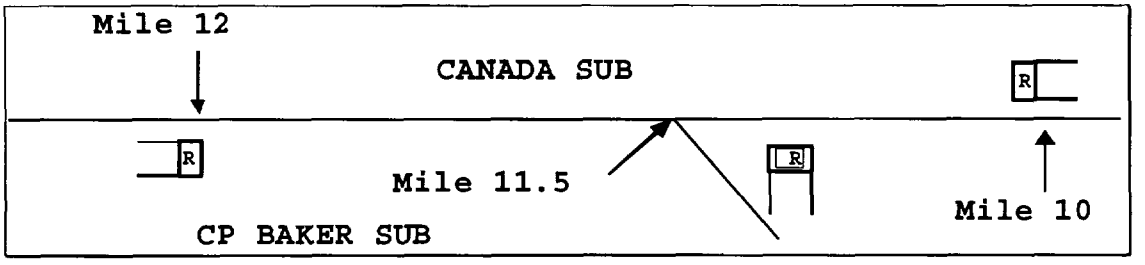
B. RULE 42 ON SIGNALLED SIDINGS AND OTHER SIGNALLED TRACKS

When the Rule 42 request will encompass all or part of a signalled track(s) the GBO will read:

Be governed by Rule 42 on Nov. 30th from 0800 until 1700
On main track (on all tracks) and signalled siding (signalled track)
Between mile 10 and mile 11 Canada Sub. Foreman _____.

NOTE: When it is specified in special instructions, Rule 42 protection can be used on non-signalled sidings and other non-signalled tracks.

C. RULE 42 ENCOMPASSING A JUNCTION WITH FOREIGN RAILWAY

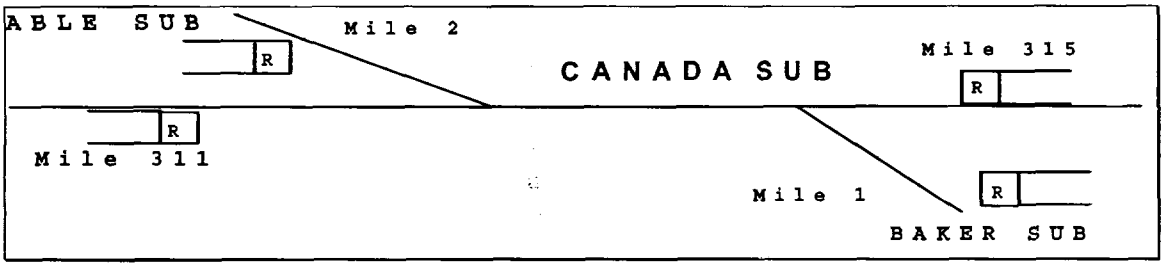


When Rule 42 encompasses a junction with a foreign railway the GBO will read as follows:

"Be governed by Rule 42 on Nov. 30th from 0800 until 1700
Between mile 10 and mile 12 Canada Sub. Foreman _____.
Signal(s) governing trains from CP Baker Sub. are located at Jct. Swt."

Note: This information must be entered into GBO System in the "Special Instructions" field.

D. RULE 42 - ENCOMPASSING THREE SUBS.

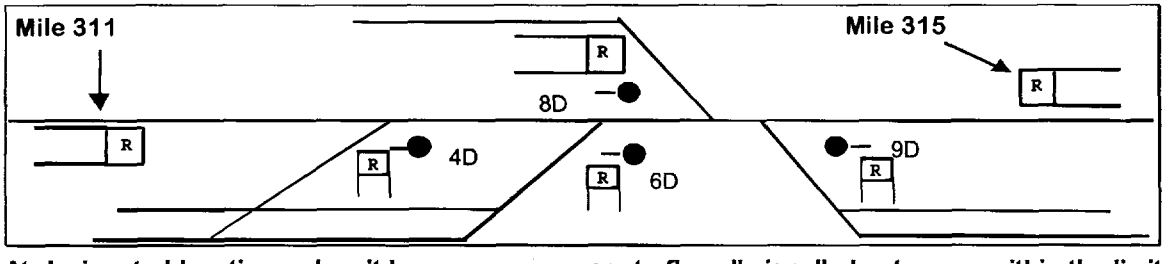


When encompassing three subs. the GBO will read:

"Be governed by Rule 42 on Oct 15th
From 0800 until 1600 between mile 2 Able Sub.
Mile 1 Baker Sub. And mile 311 and mile 315 Canada Sub.Foreman _____".

Note: This GBO must be created in "non-tabular" format.

E. RULE 42 - NON-SIGNALLED YARD TRACKS GIVING ACCESS TO RULE 42 LIMITS BY SIGNAL INDICATION



At designated locations when it becomes necessary to flag all signalled entrances within the limits of a Form Y the GBO will read as follows:

"Be governed by Rule 42 on Oct 15th
From 0800 until 1600 between
Mile 311 and mile 315 Canada Sub Foreman _____
Red signals located at the following yard track signals 4D, 6D, 8D and 9D".

Note: This information must be entered into GBO System in the "Special Instructions" field.

F. RULE 42 - IDENTIFIABLE LOCATIONS THAT CAN BE USED

When other than whole miles are used to express the limits of a Rule 42, they must be at locations that are identifiable in the field such as station signs, block and interlocking signals, etc. When such locations are also identified in the timetable such as a station sign, then only the mileage will be shown. If a feature not indicated in the timetable such as a block signal identifies such location, the GBO will note as:

	GBO No	Rule	Time From Time Until	Speed on MPH	Track(s)	At/Between Mile	Mile	Foreman or Reason
2.	5416	42	0800 Oct 30th 1700 Oct 30th		20		28.8	Relitz
			Signal 288 is located at Mile 28.8 Able Sub.					

This information must be entered into GBO System in the "Special Instructions" field.

G. RULE 42 CONSECUTIVE FOREMEN WORKING

"Be governed by Rule 42 from 0500 until 2100 on July 6th
Between mile 10 and mile 12 (on north track) Canada Sub.
Frmn Jones from 0500 until 1300 and Frmn Smith from 1300
Until 2100. Authority to proceed will not be required from more than one Frmn".

The Rule 42 confirmation need only be issued to the foreman copying and must include each foreman named in the GBO. The foreman copying the confirmation must be informed to transfer the confirmation to each foreman named in the GBO.
The foreman hours of duty information must be entered into the "Special Instructions" field, the GBO must be non-tabular and the "More Than One Foreman" (Option 2) for the transmit format must be used.

H. FOREMAN ISSUING RESTRICTIONS DIRECT TO TRAINS

A foreman can instruct trains or engines to reduce speed over specific track locations provided he/she is in possession of a Rule 42, OCS Clearance, TOP or Rule 40.1. In these cases the train or engine crew will communicate directly with the foreman.

Note: This instruction is utilized by foremen for protecting emergent conditions or those conditions that will only be in effect for a short duration. The preferred method is for the RTC to issue advance information to train and engine crews of Rule 43 restrictions via GBO.

I. RULE 43 DELIVERY OF A GBO TO TRAINS NOT AFFECTED BY RESTRICTION

All trains must receive a copy as notification for the reason signals are in place. e.g. Passenger trains must receive a copy even if the speed restriction only affected freight trains.

J. RULE 42 AND RULE 43 OVERLAPPING RESTRICTIONS

Rule 42 limits must not be overlapped; back - to - back Rule 42s should be avoided whenever possible.

When Rule 43 restrictions are overlapped, each must be carried as a separate GBO. Foremen should be encouraged to combine restrictions to avoid overlapping slow orders whenever possible.

K. RULE 43 SPEED RESTRICTION- PUBLIC CROSSING AT GRADE

When an accident occurs at a public crossing at grade requiring placement of a speed restriction requested by an officer of Transport Canada or the Accident Investigation Board through the RTCC, a GBO must be issued. The signals will not be placed.

Conditional speed requests from S & C can be handled in the same manner.

Note: When a speed restriction is placed over a public crossing at grade, due to a track defect no mention is to be made of "public crossing at grade" in the GBO.

L. RULE 43 PUBLIC CROSSING AT GRADE WITH DEFECTIVE CROSSARMS (Non Automatic)

When crossarms are defective or missing a GBO will be issued:

e.g. "Crossing warning signs Damaged at public crossing at grade mile 10 Canada Sub. This crossing must be manually protected unless it is seen to be clear of vehicular and pedestrian traffic".

714. RULE 102 CONFIRMATION OF PROTECTION BETWEEN RTCs

The following procedure is to be followed when an RTC requests protection from an RTC of an adjacent railway or adjacent subdivision or territory.

The requesting RTC requests the protection quoting his/her subdivision mileages.

The receiving RTC compares the requested mileages on his/her territory, and applies appropriate blocking.

The requesting RTC must verify the mileages compare properly to his/her territory before repeating the information back to the adjacent RTC.

Then RTC will give train or engine verbal relief of Rule 102 protection, and instruct the train crew to advise the RTC when protection is no longer required.

715. RULE 148 TRANSFER TO ROVING RTC

If a roving RTC is required to issue authorities in the absence of the regular RTC, their initials must be entered into the CTC and/or CAMBS systems. TGBO transfer would not be required unless otherwise specified by the Manager RTCC, although any immediate restriction must be protected until regular RTC returns. If roving RTC cancels any item in the GBO system, regular RTC must be informed on their return.

716. RULE 148 REGULAR RTC FAMILIARIZING ON NEW TERRITORY

A qualified RTC undergoing familiarization on a territory will use his or her own initials. RTC sitting in will accept a regular transfer in the presence of both the relieving RTC and the trainer. The trainer is present with the familiarizing RTC for support and to explain train operations, characteristics of the desk, field operations etc. Either RTC may issue authorities but initials presently in the CTC/and or CAMBS system must be transmitted to the field.

717. RULE 148 STUDENT RTC SITTING IN WITH REGULAR RTC.

When a student RTC is learning the position of an RTC, the initials of the trainer will be utilized. Both the training RTC and student are responsible for all rule applications.

The student RTC and training RTC must both accept a regular transfer in the presence of the relieving RTC.

If student has not completed the rules training portion, he/she will not be allowed to issue any authorities.

718. AUTHORITY BOOKS (GENERAL PURPOSE BOOKS)

Authority books and records associated with Rail Traffic Control consoles and Computer - Assisted OCS must be retained for a period of time, directed by the Company.

Every effort must be made to keep such records neat and clean. The color red will be used to cancel authorities and to mark off authorities, pages or train sheet entries, which are no longer in effect.

When the pages in authority books are numbered, each RTC is responsible to ensure that the numbers run consecutively and is accountable for pages that may be missing during their tour of duty. Any discrepancies in this regard must be reported to the MCO or to the Manager of the RTC Centre.

Each page must be dated with the current date and entries on a page must be made chronologically. Authority stick-ins must be placed in the authority book before being issued. Entries not used are to be marked VOID.

All GBOs and/or authorities must be initialed off when no longer in effect to any address. When all authorities on a page are initialed off, a diagonal red line will be drawn across the page to indicate that there are no "live" authorities remaining on that page.

When all authorities on preceding pages are no longer in effect, an additional diagonal line (forming an X) will be drawn across each page to that point. The RTC, in reviewing the book, is assured that there are no authorities still in effect on any page preceding one marked with the X.

The RTC should frequently review the authority books, re-reading those authorities, which are still in effect.

When using an RTC computer system and a field cannot be bypassed, RTC may enter the abbreviation "NA"; this abbreviation does not have to be transmitted to the field.

719. ISSUING A GBO TO PROTECT A DEFECTIVE SWITCH

A GBO must be issued for a main track switch that is defective and/or spiked and must remain in effect until advice is received that the condition(s) has been corrected.

For defective switches not connected to the main track, RTC may be requested to issue a GBO advising all trains or engines affected.

In this case the GBO will remain in effect until RTC is advised that an Operating Bulletin in accordance with Rule 83 (a), (c) or (f) has been issued to cover the condition(s).

720. SUBDIVISION, SPUR OR TRACK NAME WHEN USING A MILE

Whenever a mile is used in an authority and/or GBO it must be identified with the subdivision, spur or track names.

E.g.
- Mile 43 Able Sub.
- Mile 5.3 Baker Spur

Exception: If more than one mile is used in an authority the name need only appear after the last mile indicated in the authority.

721. TGBO / DAILY OPERATING BULLETIN (DOB) INSTRUCTIONS

1. DOB EXTENSIONS

- The RTC will use the GBO System to issue DOB extensions. The General Purpose book may be used to issue DOB extensions but only under the direction of the Manager RTCC.
- When a DOB extension is used, a time must be specified. In addition the RTC will specify subdivision and when practicable the limits on the subdivision(s).
- The RTC must ensure the time stated is earlier than the commencement time of any Form Y or Form V unless such has been issued to the train or engine or is protected with appropriate blocking.
- The RTC must ensure the limits of the DOB extension do not conflict with any Form Y or Form V limits unless the Form Y or Form V has been issued to the train or engine or is protected with blocking.

2. DOB / TGBO ITEM CANCELLATION/REVISIONS

- An RTC will issue a GBO to cancel an item on the DOB or TGBO.
- An RTC may cancel an existing GBO that has been fulfilled or will be governed by General Item 704 for other cancellations.
- GBO System allows an RTC to modify certain fields of an existing Rule 43 GBO without fulfilling the requirements of a normal request to be input into the system.
  E.g. removing an effective/cancelled time or signals may not be in place.

3. TGBO EMERGENCY MESSAGE WINDOW

In the TGBO system, no windows should be allowed to cover the Alarms Message window. When the computer screen is not being used for other purposes, this window must appear unobstructed on the X Terminal.

722. PROTECTING RESTRICTIONS WITHIN COMMON LIMITS CONTROLLED BY ADJOINING RTCS

In order to fully protect restrictions that are placed within common limits controlled by adjoining RTCs (between RTCs of adjoining RTC Centres).

The following instructions apply:

1. When a request is made to place a restriction within common limits controlled by adjoining RTC's, such request will be input into the system. The GBO System will flag the common track; the RTC will send request to other RTC.
2. Joint confirmation must be issued between adjoining RTCs before confirmation can be issued to the foreman.

723. RULE 134 - ADDRESSING A TGBO TO OTHER THAN A TRAIN OR ENGINE.

A TGBO must be addressed as indicated in Rule 134. When a TGBO is addressed to a name (or yardmaster), and RTC is unable to secure an off-duty time, it must show a cancelled time.

e.g. "This TGBO is cancelled at 1730."

SUSPEND TGBO OPTION

The **SUSPEND TGBO** option allows for the removal of an active train from the TGBO summary screen and the train **will not** be included in any subsequent warnings for that desk.

This option may be used only if the train has left the current RTCs territory and is proceeding on an adjacent RTCs territory or is operating over another RTCs territory on an alternate route. The train remains active in the system and may be reactivated if the situation dictates.

When a suspended train is to be reactivated, the RTC must not issue an OCS clearance or give this train a signal to proceed in CTC until such train has been successfully reactivated in the GBO System.

It is recommended that Way-frt/Yard Eng./Work TGBOs should not be suspended.

Note: Suspended trains will automatically be removed from the system when the TGBO is cancelled or retired.

724. READDRESSING A GBO IN DOB TERRITORY

Question: Does a GBO have to be readdressed when a train or engine changes direction and will encounter this restriction again?

Answer: No, in the application of Rule 154 a GBO is in effect for the entire tour of duty unless cancelled, although when a restriction is cancelled a train or engine must be issued a GBO cancelling it, if the train or engine is not off duty.

NOTE: This does not relieve the RTC of ensuring train crews retain their copy of the GBO on the return trip.

725. RULE 43 PROTECTING EMERGENT TRACK CONDITION USING GBO SYSTEM IN DOB TERRITORY.

1. Foreman requests Rule 43, which is input into the GBO System.
2. RTC inputs blocking into the system to protect Rule 43.
   WAM or blocking message would state:
   " 10 mph between mile 10.2 and mile 10.4 Able sub".
3. RTC issues confirmation to the Foreman from the GBO System.
4. RTC goes to GBO transmit mode, types in all known addresses required.
   E.g. GO 937, GO 900, Eng 5000 etc.
5. RTC would then tab through all appropriate fields until a complete time is generated by the system for each address.
6. RTC would now request this completed GBO be printed on the RTCC local printer, and then this completed GBO may be faxed to the appropriate locations.
7. Prior to lining signals into the affected limits, RTC must verify affected trains or engines are in possession of the above GBO.

E.g. WAM or blocking message could now be changed to read: "Is this train in possession of GBO No. 2134".

Note: If additional addresses were required at a later time, RTC would simply add those addresses and follow the above procedure.

726. TO PROTECT EMERGENT TRACK CONDITIONS WHEN WAM BLOCKING IS NOT AVAILABLE

The RTC will be governed as follows:

1. Issue GBO to the train/engine approaching the point of restriction;
2. Apply blocking behind the approaching train after GBO has been issued;
3. Remove blocking in front of the train which will allow train to pass the point where the condition exists;
4. After train has cleared the restricted point, reapply blocking to prevent other trains from entering the point where the condition exists;
5. Extra blocking that was applied behind this train can now be removed.

Exception: If emergent condition is at the beginning of a subdivision, at a junction point, or a point where trains enter a subdivision and there is no means of providing protection behind train, blocking must not be removed.

727. RTC OFFICE PROTECTION

Depending on the control system there are 4 forms of blocking; Warning Alarm Messages (WAM), JJJ Blocking, Desk Blocking and Directional Blocking, that may be used by the RTC to protect field conditions:

- Emergent track conditions;
- Temporary Slow Orders;
- Broken Rails;
- Reported Rough Spots;
- Defective Public Crossings at Grade;
- Protection for Rule 102 and 107;
- Exclusive use of a track under Rule 42;
- Any other conditions affecting the movement of trains or engines requiring protection.

RTC office protection entered into the control systems is not transmitted to field personnel.

1. **Warning Alarm Messages (WAMs)** may be applied in CTC and in CAMBS controlled territories. WAMs are used to remind the RTC to advise trains or engine of track conditions, or other restriction prior to the movement reaching the point of restriction.
   In CTC, a WAM is applied to individual **exit** signal(s) which govern movement into controlled block(s) or on track(s) requiring protection or between individual signals, which control movement out of the controlled block. Whenever a signal request, or an authority is initiated into the controlled block governed by the WAM'd signal, the control system will interrupt the lining of signals or the placement of the Rule 564 authority, until the RTC has acknowledged to the system, that the condition(s) outlined in the message portion of the WAM have been complied with.
   In OCS, a WAM is applied between 2 "known points" encompassing the portion of track requiring protection. Whenever a subsequent OCS authority is proposed, which overlaps any portion of the WAM's limits, the system will prevent the RTC from continuing, until the RTC has acknowledged to the system that the condition(s) outlined in the message portion of the WAM have been complied with.
2. **JJJ blocking**, provides positive protection against train movements and may be applied in CTC and CAMBS controlled territories. JJJ blocking is used to protect impassable track, or track that is deemed impassable until inspected.
   In CTC, JJJ blocking is applied between control signals encompassing the portion of track requiring protection, thereby preventing the lining of signals or the issuance of written train authorities within the controlled block(s) protected by the JJJ blocking, until such blocking is removed.
   In OCS, JJJ blocking is applied between "known points" encompassing the portion of track requiring protection, thereby preventing the issuance of OCS train authorities overlapping the limits protected by the JJJ blocking, until such blocking is removed.
3. **Directional (signal) blocking** is applicable in CTC only, and is used to prevent the lining of signals until the condition for which it was applied has been resolved. Directional blocking is applied to individual **entrance** signals, which prevents the clearing of such signals until the blocking is removed. When directional blocking is used, the RTC must ensure each signal governing movement over the track to be protected, has a Directional Block applied.
4. **Desk blocking** can be applied to a track or a switch as a reminder. If desk blocking is used as protection as shown above RTC must indicate in GBO System notepad reason for blocking and included on any transfer. i.e. Harmon touch block.

When applying RTC Office Blocking, the RTC must:

- Secure all movements currently within the limits to be protected:
- Select the applicable form of RTC Office Protection to be applied for the track condition to be protected;
- Apply the Office Protection to prevent all access to the affected track(s);
- From the trackline display ensure full protection has been provided;
- Enter the reason for the required protection in the text portion of the WAM or JJJ blocking form, and complete the placement of the protection.

728. FUEL CONSERVATION AND TRAIN HANDLING POLICY

When duties permit, RTC will provide information and advise crews of situations where their train will be stopped and waiting at a meet for a considerable amount of time, enabling the crew of such train to reduce throttle or use less automatic brake, to pace their train accordingly.

RTC will also provide information regarding any other situation where a train would be delayed, stopped or waiting, enabling the crew to comply with the locomotive handling and/or shutdown policy.

The RTCs can assist in fuel conservation by adhering to the following guidelines:

1. Advising crews if they are waiting at stacked meeting points in excess of 30 minutes.
2. Advising crews of upcoming meets which may delay them.
3. Advising crews of work blocks, which may delay them.
4. Advising crews of congestion ahead, which may delay them.
5. Learning the physical characteristics of their territory.
6. Ensuring signals are cleared sufficiently in advance or OCS clearances are issued in advance thereby reducing the need for trains to slow down or stop for no reason.

729. CORRECT TIME ON RTC SETS

The RTC must maintain correct time on his or her set, and will compare daily the designated desk clock with an approved railway time source. When requested for a time check from field employees, RTC must use this clock only.

Signals and Communications are responsible for maintaining correct time on all computerized systems. When the CAMBS computer clock is being adjusted, RTCs must not make any entries into the system until advised by an S & C employee.

730. CANCELLING AUTHORITIES

When a CTC authority is to be cancelled the RTC will be governed as follows:

1. The RTC must ensure it is **repeated and acknowledged** by both the conductor and locomotive engineer.
2. Cancellation may be relayed in the application of Rule 123(b) when either conductor or locomotive engineer cannot communicate directly with the RTC.

731. DIMENSIONAL LOAD - PROCEDURES

GBO FORM DL (1) – PROTECTION OF DIMENSIONAL TRAFFIC WITH MEET/PASS RESTRICTION
(This form of GBO also applies to an engine in transfer service)

FORM DL (1) 5748 West with wide traffic
will be protected by the RTC
against other main track movements
between Zephyr and Aurora

The RTC must, by the use of signal blocking devices, clearances or other control methods, prevent other movements from occupying main tracks adjacent to the track upon which the wide traffic is being handled.

Form DL will not provide protection against equipment on other than main tracks. The crew of the train handling the abnormal traffic must protect it from such equipment.

A. RESPONSIBILITY FOR HANDLING

The RTC is responsible for the protection of dimensional traffic when handled in trains and transfer movements on tracks that are under their control.

B. PROCEDURES FOR HANDLING MEET/PASS RESTRICTED DIMENSIONAL LOADS

When advised or otherwise made aware that a train is handling Dimensional Load that is D-4 or greater, i.e. Meet/Pass Restricted, the RTC:

- In CTC and OCS ensure that appropriate blocking is applied to protect movement;
- Must issue a GBO Form DL and have in their possession a copy of the dimensional message;
- Ensure adjacent main tracks and sidings are kept clear at meeting or passing points until all affected movements have been fully informed of the situation;
- By the use of TOPC or equivalent, verify the status of other trains to be met as to the presence of Dimensional Loads classified with width (D-1 to D-9) on these trains;
- Must protect/advise both trains based on the category of the Meet/Pass restricted load (D-4 to D-9); the meet/pass location; and the presence of D-1 to D-9 loads on the train to be met or passed;
- Will determine the meet/pass location (Adjacent main track or single track at siding) and utilizing the content of the dimensional load message for the meet/pass restricted load verify if "No Restrictions" or other restriction is applicable at the location between the trains involved in the meet/pass process;
- If "No Restrictions" is determined, it is not necessary to contact or protect either train;
- If a restriction is present, both trains must be protected until contacted and advised of the meet/pass restriction and the need to have an understanding between each other as to how the meet/pass will be accomplished;

The RTC will verbally give the following instructions to a crew member on the meeting or passing train prior to authorizing trains to pass one another:

"5533 EAST IS HANDLING WIDE LOAD(S),
INSTRUCTIONS MUST BE RECEIVED FROM A CREW MEMBER
ON 5533 EAST BEFORE PASSING."

Note 1: In multi track depending on restrictions stated on dimensional message RTC should coordinate which train should stop and which train should pass.

Note 2: If the train handling the wide load advises the RTC that they will not be able to allow opposing or following movements to pass, the RTC may direct the train to a point where the dimensional load can be set off in the clear until opposing or following traffic has passed that point.

Note 3: If the wide load cannot be separated from the train and the crew advises that the wide load is of such a width that it will not allow for any trains to pass, opposing or following movements must be held until such time as the wide load arrives at a point where it can be placed in the clear.

- RTCs controlling adjacent territories are advised before dimensional load is authorized to enter their territory;

C. GBO FORMS DL (2) and (3)

The following GBOs will be issued to all trains when it has become necessary to protect a dimensional load that has been set off on line or at other than a terminal:

FORM DL (2) Meet/Pass Restricted Dimensional Loads set - off on line:

"Wide load set out on track _____ at _____
Movements on adjacent tracks must stop and determine
that clearances are sufficient before proceeding."

FORM DL (3) Other Dimensional Loads set - off on line:

"Dimensional load set out on track _____ at _____.
Movements on adjacent tracks must use care when passing this load."

732. FORMS OF GBOs

FORM Q - NOTICE OF TIME CHANGE, NEW TIME TABLE OR SUPPLEMENT.

(1) Central Daylight Saving Time
(Standard Time)
is effective at 0200
Central Standard Time
(Daylight Saving Time)
Sun Apr 26th

This example will be used to give notice of time change in accordance with Rule 3.2.

(2) Time Table No 66
is effective at 1200
Central Standard Time
Sun Apr 26th

(3) Supplement No 1
to Time Table No 66
is effective at 0001
Sun Nov 30th

FORM S - MAIN TRACK OUT OF SERVICE

(1) Main track out of service
between siding switches at
Inwood. Switches lined and
secured for siding. Trains
will move through siding in
accordance with Rule 105

(2) Main track out of service between
SD 40 track switches at mile 11.3 and mile 12.1 Canada Sub.
Switches lined secured for SD 40 track. Trains will move through SD 40 track
in accordance with Rule 105

When a foreman has received confirmation in writing that the GBO is in effect, impassable main track, between the switches of the siding or other track, may be protected in the manner prescribed by Rule 40.1.

Before Form S is issued, any derail on such track must be secured in non-derailing position or removed from the rail.

FORM T - EQUIPMENT LEFT ON MAIN TRACK.

(1) Work 5748 (9460 East)
leave unattended equipment
on main (No 4) track
between mile 9 and mile 11
Maple Leaf Sub.

When so instructed, the crew of the train named may leave equipment between the designated points.

(2) Unattended equipment occupying
main (No 4) track
between mile 9 and mile 11
Maple Leaf Sub.

Example (2) will be used to protect equipment occupying the main track.

(3) Derailed equipment obstructing
main (east) track
(No 1 track and No 2 track)
between mile 28 and mile 29
Beaver Sub.

Example (3) will be used to protect derailed equipment on the main track or obstructing a main track. The crew of a train or engine receiving examples (2) or (3) must stop before entering the limits and then proceed prepared to stop short of such equipment.

FORM V - SPECIFYING SPEED.

(1) Do not exceed 10 MPH
between mile 15 and
mile 20 (at mile 19.4)
(on east track)
Canada Sub.

This example will be used with Rule 43 protection, or for other conditions requiring a reduction in train or engine speed not covered by example (2), (3) or (4). When required, the GBO must specify the track, or tracks, upon which the restriction applies.

(2) Do not exceed 30 MPH
while handling _____

This example may be used when it is necessary to restrict the speed of specific equipment.

(3) Do not exceed 20 MPH (30 MPH)
entering public crossing at grade
mile 43.5 Beaver Sub
until crossing fully occupied.

This example must be used to restrict the speed of trains or engines entering a public crossing at grade.

(4) Automatic warning device defective
at public crossing at grade mile 10 Canada Sub.
Stop before fouling and provide protection
by a crew member until crossing fully occupied.

This example must be issued immediately after the crossing protection is reported defective, and it will remain in effect until the protection devices are reported operating properly.

EXCEPTION: When the defect is of a short term nature and maintenance forces have been dispatched to the site, instructions may be provided to affected trains and engines by message in writing requiring the application of Rule 103(g). Access by trains and engines to the defective crossing must be protected by the RTC using blocking or other positive protection until all affected movements are advised to protect the crossing. RTC must maintain protection until advised that the defect has been corrected. If not corrected within six hours of initial advice, Form V GBO must be issued.

Note: Written message issued to trains must be recorded in the General Purpose Book:

e.g. "Provide manual protection public crossing mile 10.5 Canada Sub
account defective warning devices" or

"Do not exceed 10 MPH at public crossing
mile 10.5 Canada Sub
until crossing fully occupied account defective warning devices".

(5) Automatic warning devices
defective at public crossing at grade
mile 10 Canada Sub.
Do not exceed 10 MPH
until crossing fully occupied.

Example (4) will be replaced by example (5) after the required number of flagmen have been posted.

FORM Y - TRACK CONDITION PROTECTION.

Form Y will be used to provide protection as prescribed by Rule 42.

Be governed by Rule 42
On Nov 30th from 0800 until 1700
(daily from 0800 until 1700)
(daily except Saturday and Sunday from 0800 until 1700)
between mile 10 and mile 12 (on east track)
Canada Sub. Foreman_____.

When required, the GBO must specify the track, or tracks, upon which the restriction applies. Where signalled turnouts, which can provide access to the protected track, are located between the opposing yellow over red signals, the protection must be provided on all main tracks of the subdivision named.

OCCUPANCY CONTROL SYSTEM (OCS)

SECTION 2

733. MANAGING OCS TERRITORY

RTCs are responsible for managing the territory under their direct control and should take care not to give up this control in the form of extended limits of authority for lengthy periods of time.

In some cases it may be necessary to give a train or foreman complete control over a subdivision, but this should only be in cases where communications are a problem.

Train crews or foremen should be directed to make regular contact with the RTC to determine the progress of the work that is required to be performed and shorten up limits as required.

734. ISSUING AN OCS CLEARANCE

1. **Prior to issuing an OCS Clearance, the RTC must:**
   - Establish communication with the field;
   - Have a clear understanding of the type of OCS clearance required, the limits and tracks to be used, and for a work clearance the activity involved and amount of time required;
   - Record the train/foreman identification on the train/work sheet unless otherwise specified;
   - Check for conflicting movements; (i.e. trains or foreman)
   - Be aware of any restrictions applicable to the OCS clearance requested;
   - Select, from the options available in CAMBS:
     - the type of clearance,
     - the subdivision, and
     - track to be used.
   - Enter, into CAMBS:
     - train designation or foreman's name,
     - the limits,
     - if applicable, switches to be left in the reverse position and/or switch warnings.
   - Read and, if OK, acknowledge any system prompts displayed.

NOTE: When a computer assisted OCS system is used the computer will automatically place the restrictions, if any, on the OCS clearance to be transmitted. This does not relieve the RTC from the responsibility of ensuring that the restrictions are placed correctly. The RTC may use the graphic screen and/or train sheet to ensure restrictions placed are correct.

2. **During the issuance of an OCS Clearance, the RTC must:**
   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information;
   - State item numbers to identify the appropriate section of the clearance;
   - Verify receipt of the information by checking the repeat of the Clearance and if correct make "complete".

3. **Clearances remain in effect until fulfilled (OS location report), superseded or cancelled.**

735. SUPERSEDING AN OCS CLEARANCE

1. **Prior to SUPERSEDING an OCS Clearance, the RTC must:**
   - Establish communication with the field;
   - Have a clear understanding of the type of clearance required, the limits and tracks to be used, and for a work clearance the activity involved and the amount of time required;
   - Ensure that the proposed clearance protects the current location of the train or foreman. When necessary obtain a location report to ensure proper protection;
   - Check for conflicting movements (i.e. trains or foreman)
   - Select, from the options available in CAMBS:
     - cancel and reissue,
     - clearance currently in effect,
     - the type of clearance to be issued,
   - Enter, into CAMBS:
     - train designation or foreman, (if designation is changed, address must reflect new designation)
     - the limits,
     - if applicable, switches to be left in the reverse position and/or switch warnings,
   - Read and, if OK, acknowledge any system prompts displayed.

   NOTE: When a computer assisted OCS system is used the restrictions will be placed automatically on the clearance to be transmitted. This does not relieve the RTC from the responsibility of ensuring that the restrictions are placed correctly. The RTC may use the graphic screen and/or train sheet to ensure restrictions placed are correct.

2. **During the issuance of an OCS Clearance, the RTC must:**
   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information;
   - Verify the correct receipt of the transmitted information by checking the repeat of the OCS Clearance and if correct make complete.

   (Only one acknowledgment is required, unless operating authority of the train is being reduced or restricted)

   NOTE: Clearances remain in effect until fulfilled by a location report (OS); cancelled; or superseded.

736. LOCATION REPORTS (OS's)

The RTC must:

- Establish positive identification with the field;
- Confirm that the entire train or track unit has departed/arrived the location specified;
- Enter into CAMBS, the location and time, as it is received;
- Repeat back to the movement, or foreman, the Location Report information from the CAMBS screen, and receive confirmation that the entered information is correct as follows:
  Crew Member: 4000 East left Bravo (or Mile 10 Able Sub.) at 1015.
  RTC: 4000 East left Bravo (or Mile 10 Able Sub.) at 1015, is that correct?
  Crew Member: That is correct, RTC, 4000 East, out.
- Record the Location Report on work sheet, where used;

NOTE: A location report must be verified with the train crew/foreman but does not have to be checked using the CAMBS screen when:

- An RTC issues a cancel or a superseding clearance;
- An RTC receives an unsolicited location report, i.e. intended for informational purposes only;
- A movement or foreman is in possession of more than one proceed clearance, the RTC, after entering the last OS into the CAMBS system, may use this time to fulfill any other outstanding clearances to the rear.

737. NORMALLING MAIN TRACK SWITCHES IN OCS TERRITORY

- Establish positive identification of the reporting party;
- Ensure that the movement or foreman is reporting the switch position, from the location of the switch;
- In CAMBS, mark the switch being reported as normal;
- Repeat back to the movement or foreman from the CAMBS screen, and receive confirmation that the entered information is correct, as follows:

For example:

Crew Member: Siding west switch Bravo restored to normal position by 4000 East (or Foreman Jones).

RTC: Siding west switch Bravo restored to normal position by 4000 East (or Foreman Jones), is that correct?

Crew Member: That is correct RTC Edmonton, 4000 East, out.

Note: When an employee has reported a switch in the normal position, to avoid train delay the RTC should issue a SUPERSEDING clearance removing the switch warning.

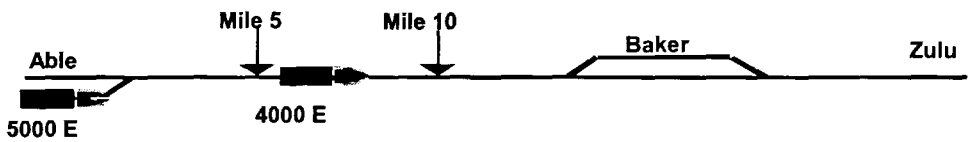
738. CANCELLING AN OCS CLEARANCE

- Establish communication with the train or foreman;
- Have a clear understanding as to the clearance to be cancelled.
- Transmit, from block 13 of the prescribed form, all preprinted and RTC entered information;
- Verify the correct receipt of the transmitted information;
- Ensure the correct number of repeats and acknowledgments are received as follows:
  - Cancellation to a train or engine, it must be repeated and acknowledged by both conductor and locomotive engineer. Therefore, under normal conditions a repeat must be received from both the conductor and locomotive engineer.
  - Cancellation to a Foreman must be repeated and acknowledged by the foreman, in addition foreman and RTC must state the limits of the authority being cancelled.

739. RULE 303 TWO TRAINS PROCEEDING IN THE SAME DIRECTION AND ONE TRAIN IS ALREADY WITHIN THE LIMITS

The preferred method of handling this situation is to shorten up the clearance of the first train with a superseding clearance as indicated below.
For example:

- 4000 East has a proceed Able to Zulu no restrictions.
- 5000 East is now ready to leave Able.
- RTC wants to operate both trains together to Zulu.
- RTC obtains an OS from 4000 East by mile 5 at 1000. RTC now issues a SUPERSEDING clearance to 4000 East to proceed from mile 5 to Zulu protecting against 5000 East between mile 10 and Zulu.
- RTC now obtains an OS from 4000 East by mile 10 at 1015. RTC can now issue a clearance to 5000 East to proceed from Able to Zulu protecting against 4000 East between mile 10 and Zulu.



Another method that can be utilized when a train currently occupies the proposed limits is as follows:

1. The train currently within the proposed limits must be fully informed of the situation. OCS clearance may then be superseded to the train currently occupying the proposed limits but must not be repeated until the RTC has been advised that an arrangement has been made between both trains.

2. Once confirmation of the arrangement has been received, both the conductor and locomotive engineer of the train occupying the limits must then repeat the clearance.

3. OCS clearance may then be issued to other train.

740. RULE 304 RESTRICTION BEFORE LEAVING - UNABLE TO IDENTIFY TRAIN

When a train has been restricted by an OCS clearance and is unable to obtain information that the train or trains for which it is required to wait have arrived, the RTC must obtain the arrival information from the train or trains named in the restriction, update CAMBS and then issue superseding clearance to the train ready to depart.

NOTE: The train designation **"Engine unknown"** cannot be used on an OCS clearance as positive identification for a passenger train.

741. RULE 310 PROCEED TRAIN WITHIN LIMITS OF A PROPOSED WORK TRAIN

Under normal circumstances a joint authority will be issued to all trains before entering the limits of the joint authority. When this is not possible because one train currently occupies the proposed limits, the following procedures will apply:

1. The proceed train currently within the proposed limits must be fully informed of the situation and **must confirm to the RTC that they are stopped and will not recommence movement** until the requirements of Rule 310 (b) have been complied with.
2. A superseding clearance will then be issued to the proceed train to protect against proposed work train.
3. A work clearance may then be issued to work train but complete time must not be given until RTC has been informed requirements of Rule 310(b) have been complied with.

742. JOINT AUTHORITY WITH FOREMAN WHEN TRAIN IS ALREADY WITHIN PROPOSED FOREMAN'S LIMITS

Under normal circumstances the clearance will be issued to the foreman first. When this is not possible because the train is currently within the proposed limits and it is necessary to issue the clearance to the train before clearance is issued to the foreman, the following procedures will apply:

1. The train currently within the proposed limits must be informed of the situation and must confirm to the RTC that they are stopped and will not recommence movement until instructions have been obtained from the foreman named on the clearance in accordance with Rule 311(b).
2. A clearance may then be issued to the train currently occupying the proposed limits.
3. A clearance may then be issued to the foreman.

743. RULE 309-310-311 LIMITS OF RESTRICTION CHANGED BY A SUPERSEDING CLEARANCE

When an RTC is required to issue a clearance to **a train which is within the limits** of a "protect against" restriction, the cancel and reissue feature should be avoided. RTC should simply issue another clearance beyond the limits of the first clearance, and the previous clearance can then be fulfilled when train exits the limits.

When it is not possible to issue a second clearance due to a requirement **to reduce the operating limits** of such train, a superseding clearance may be issued when the train is within the "protect against" limits. If the limits of any restriction stated on the existing clearance are changed the following procedure must be applied:

1. **Train protecting against a foreman** – The clearance will be issued to the crew of such train who must be instructed to obtain new instructions from the foreman before clearance can be repeated.
2. **Proceed train protecting against a work train** – Clearance may be issued to the proceed train who must be instructed to obtain a new agreement with the work train before the clearance can be repeated.

744. RULE 104(B) - LEAVING A SWITCH REVERSED WHICH IS NOT RECOGNIZED IN CAMBS

When required a main track switch which is not identified in CAMBS, may be left in reversed position in OCS territory provided:

1. Authority is received from the Manager RTCC,
2. WAM blocking is applied to protect the switch,
3. A GBO is issued to the train giving permission to leave the switch in reversed position, and
4. Trains operating within that block are issued a GBO warning of the reversed switch.

Note: Same wording as stated on OCS Clearance in block 8 and 9 should be used.

745. RULE 309 - WHEN A WORK TRAIN WISHES TO CANCEL OCS CLEARANCE AND TRAIN IS STILL WITHIN OR AUTHORIZED THROUGH SUCH LIMITS

In the application of Rule 309, when a train has a "protect against" and work train wishes to cancel their clearance before the proceed train has cleared the entire limits:

1. Work Train must retain his/her clearance until train has cleared limits of the restriction, or
2. If RTC allows work train to cancel before train has cleared the limits, a superseding clearance must be issued to the train as soon as possible to remove this restriction. If RTC is unable to contact train immediately a WAM must be input as a reminder until train is issued a superseding clearance or train has cleared the work train's limits.

Note: This instruction applies even if work train has already given train permission to enter the limits.

746. RULE 311 - WHEN FOREMAN WISHES TO CANCEL OCS CLEARANCE AND TRAIN IS STILL WITHIN OR AUTHORIZED THROUGH SUCH LIMITS

In the application of Rule 311, when a train has a "protect against" a foreman and the foreman wishes to cancel their clearance before the train has cleared the foreman's entire limits:

1. Foreman must retain their clearance until train has cleared limits of the restriction, or
2. If RTC allows foreman to cancel before train has cleared the limits, a superseding clearance must be issued to the train as soon as possible to remove this RESTRICTION. IF RTC IS UNABLE TO CONTACT TRAIN IMMEDIATELY A WAM MUST BE INPUT AS A REMINDER UNTIL TRAIN IS ISSUED A SUPERSEDING clearance or train has cleared the foreman's limits.

Note: This instruction applies even if foreman has already given train permission to enter the limits.

747. FOREMAN/WORK TRAIN AUTHORIZING A TRAIN THROUGH CANCELLED LIMITS OR NO LIMITS HAVE BEEN ESTABLISHED

RTC must issue a superseding clearance to the train, if the foreman or work train's clearance has been cancelled or no clearance has been issued to the foreman or work train.

Note: If the train is already within or authorized to enter a foreman's cancelled limits and superseding clearance is not issued, RTC must input WAM until train exits limits.

Exception: If procedure outlined in Items 741 and 742 are followed, the above instruction does not apply.

SECTION 3

SECTION 3

GLOSSARY OF TERMS

CTC - Centralized Traffic Control

CTC consists of a series of controlled locations each of which may consist of a single switch or crossover, or various combinations of switches and crossovers with associated signals. Between controlled locations switches may or may not be connected to an electric switch lock, but all switches are tied into the signal system.

TYPES OF BLOCK SIGNALS

- **Controlled Block Signal**

  A block signal located at controlled locations normally displaying a STOP indication unless requested to clear by the RTC.

- **Intermediate Signal**

  A block signal located between controlled locations automatically activated by a train, engine or when an RTC clears a signal at a controlled location.

TYPES OF SIGNAL BLOCKING

Signal blocking is a process utilized to prevent train movement into or beyond a controlled location by ensuring RTC will not inadvertently clear signals into a block. In CTC territory the following types of blocking may be used:

- **Office Blocking**

  Prevents the RTC from transmitting conflicting switch or signal requests but does not affect signal indications in the field. Office blocking will not prevent pending signal or switch control requests already transmitted from the office from being accepted by the controlled location.

- **Field Blocking**

  Where this type of blocking is available, blocking requests are transmitted to affected controlled locations. Blocking requests in addition to providing office blocking are transmitted to affected controlled locations or blocks in the field. The affected block signals will indicate Stop. Field blocking will be confirmed only after blocking has been established in the field.

- **WAM Blocking**

  Prevents entry to a block until the RTC complies with a "prompt". The signal request will then be sent to the field. Blocking remains in effect for subsequent movements until cancelled.

- **JJJ Blocking**

  Is a form of absolute blocking and prevents entry to a block until cancelled by the RTC.

- **Directional Blocking**

  Is a form of blocking applied on individual signals in one direction only and prevents entry to a block until cancelled.

- **Desk Blocking (Harmon Touch Block)**

  Desk blocking is a form of track blocking applied to either a track segment or a switch, which prevents entry or movement until removed.

TRACK CIRCUIT

A track circuit is an electrical circuit in which each rail forms a part of a closed circuit. The presence of a train within a track circuit bridges the rails causing a short circuit, which activates relays, thus detecting the presence of a train. Conditions of track occupancy are displayed on the RTC console. A track circuit interruption such as a broken rail, broken bond wire or a steel bar across both rails will also display an indication similar to that of a train.

CTC OPERATIONS

SWITCH OUT OF CORRESPONDENCE

This term indicates that the field position of a switch equipped for power operation may not correspond with the last position requested on the RTC console, or when a switch has failed to lock up for the route requested.

CODE LINE

A **code line** is a communication link between the CTC console and controlled locations in the field.

FLEETING

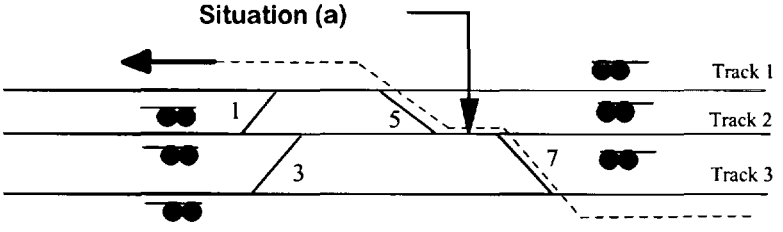
Fleeting provides for the automatic clearing of subsequent signals for the same route. Fleeting may be used at a single controlled location or a number of controlled locations. Fleeting may be activated by means of the RTC console or a signal maintainer in the field at a local control panel. Prior to issuing any authorities in the block affected, the RTC must ensure fleeting has been deactivated.

SECTIONAL RELEASE CIRCUITS

Sectional release provides for the use of a section of track within a controlled location, after the movement has passed over that section, but has not completely cleared the controlled location.
This feature releases a portion of a controlled location to allow the RTC to change the route and clear signals for another movement through that controlled location before the first movement is entirely clear of a controlled location.

Situation (a)

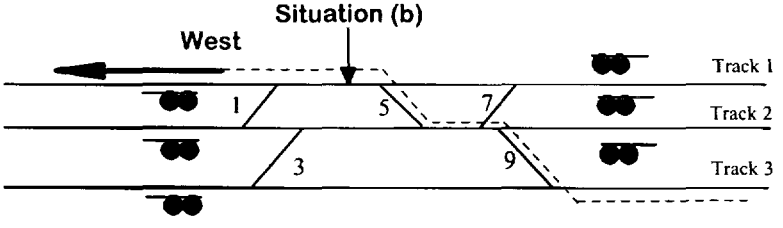
If the movement stops with its last car on Track No. 2, west of and clear of dual control switch 7 (with the sectional release features in operation at this controlled location), it then becomes possible for the RTC to request and line signals eastward and westward on Track No. 3 or change the position of dual control switch 7.



In the above diagram, a movement is proceeding westward by signal indication from Track No. 3 to Track No. 1.

Situation (b)

If a westward movement stops with its last car on Track No. 1, west of and clear of dual control switch 5 (with sectional release features in operation), it then becomes possible for the RTC to request and line signals eastward from Track No. 3 to Track No. 2 or onto Track No. 1. Westward movement could also be operated through this same route. It also becomes possible for the RTC to change the position of dual control switches 3, 5, 7, or 9.



748. CLEARING A SIGNAL

1. **Prior to clearing a signal the RTC must:**
   - Evaluate traffic pattern priorities;
   - Have a clear understanding of required routing and extent of route;
   - Evaluate if blocking or other protection is required. i.e. to protect dimensional loads;
   - Be aware of any online work to be performed by the movement.
2. **To clear the signal the RTC must:**
   - Select/activate the icon, push button or track element for the next required signal for the movement;
   - Select from the available 'exit' routes, the desired destination track;
   - Read and acknowledge any system prompt messages.
3. **Following the signal request, the RTC will monitor the control panel to ensure that:**
   - The control system has accepted the route as requested;
   - A permissive signal has been displayed for the route requested.

Note: In single track CTC at the meeting point, when practicable signals should first be cleared for the train required to hold the main track.

749. IN THE APPLICATION OF RULE 571 - CANCELLING A SIGNAL / CHANGING A ROUTE

1. **Except in case of emergency, RTC must not cancel a signal or change any route for a train or engine unless such train or engine is:**
   - At least three 3 block signals distant from the controlled block signal to be cancelled; or
   - The locomotive engineer has acknowledged that the train or engine can stop short of the signal.
2. **Following the signal cancellation request, the RTC will monitor the control panel to ensure that:**
   - The control system has accepted the cancellation as requested;
   - The signal has completed the cancel process.

750. RULE 564 - AUTHORITY TO PASS A STOP SIGNAL

1. **Prior to issuing a Rule 564 authority, the RTC must:**
   - Communicate and have a clear understanding with the affected train or engine movement;
   - Ensure there are no conflicting trains or engines within, or authorized to enter the controlled block affected, by checking one or more of the following:
     - Record of arrivals or departures by the automatic reporting feature of the CTC control equipment;
     - Record of authorities issued and still in effect; or
     - By actual voice communication with such movements;
   - Determine the status of dual control switches for the route to be used:
     - By lining the switch(es); and
     - Initiating and receiving a RECHECK for all switches within the controlled location.
   - Establish a "buffer zone" **as per Item 758** to protect the controlled block the train or engine will be entering;

2. **When issuing a Rule 564, the RTC must:**
   - Apply the required signal and/or switch blocking;
   - Verify from the track line display, that all blocking has been applied correctly;
   - Read, and if OK, acknowledge all control system prompts;
   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information;
   - Check the employee's repeat of the authority, and if correct "complete" the authority.

   The following must be utilized in the switch information section of a Rule 564:

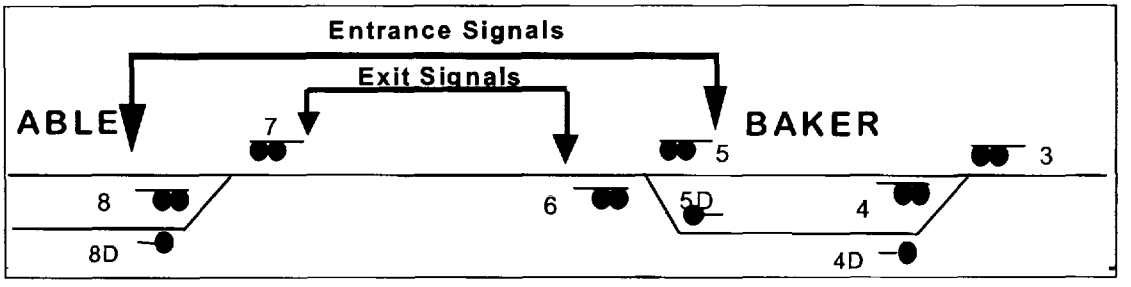
1.	"must"	When switch positions cannot be confirmed on any switch within the controlled location.
2.	"need not"	When all switch positions can be confirmed within the controlled location.
3.	"need not except no 3 must" or "need not except No 3 and No 5 must"	When switch position cannot be determined on one or more switches within the controlled location.
4.	"need not except No 3 xover must"	When a train or engine is to be operated through a crossover and the switch position for such crossover cannot be determined.
5.	"must not"	When a dual control switch is spiked for the route to be used.
6.	leave blank	When power operated switches are within a controlled location; There are no dual control switches; or Dual control switch (es) is spiked and operating bulletin issued.

3. **While the Rule 564 authority is in effect, the RTC must:**
   - Maintain blocking until the authority is either fulfilled or cancelled; or
   - Maintain protection against opposing movements until the movement has exited the controlled block.

751. ISSUING A RULE 566 AUTHORITY

1. **Prior to issuing a Rule 566 authority, the RTC must:**
   - Communicate and have a clear understanding with the train or engine movement;
   - Ensure there are no other train or engine movements authorized within, or authorized to enter the requested limits, by checking one or more of the following:
     - Record of arrivals or departures by the automatic reporting feature of the CTC control equipment;
     - Record of authorities issued and still in effect; or
     - By actual voice communication with such movements;
   - Block at Stop all devices controlling signals governing other movements into the limits to be granted;
   - In multi track line and lock all switches within the limits for the route to be used;

   Note: RTCs should use exit signals to identify the limits of the authority.



2. **When issuing a Rule 566 authority, the RTC must:**
   - Read and, if OK, acknowledge all control system prompts;
   - Verify from the track line display, that blocking has been applied correctly;
   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information.
   - Check the employee's repeat of the authority, and if correct make "complete".
3. While the Rule 566 authority is in effect, the RTC must maintain signal blocking against all trains and engines and must not authorize any other train or engine to enter the affected limits, until the authority is CANCELLED.

752. RULE 567 - MULTIPLE TRAINS/ENGINES WORKING WITHIN SAME LIMITS

1. **Prior to issuing a Rule 567 authority, the RTC must:**
   - Communicate and have a clear understanding with the train or engine movement;
   - Ensure there are no other trains or engines in the affected limits by checking one or more of the following:
     - Record of arrivals or departures by the automatic reporting feature of the CTC control equipment;
     - Record of authorities issued and still in effect; or
     - By actual voice communication with such movements;
   - Block at Stop all devices controlling signals governing other movements into the limits to be granted;
   - In multi track line and lock all switches within the limits for the route to be used.

   Note: RTCs should use exit signals to identify the limits of the authority.
2. **When issuing a Rule 567 authority, the RTC must:**
   - Read and, if OK, acknowledge all control system prompts;
   - Verify from the track line display, that blocking has been applied;
   - Whenever possible, simultaneously issue the authority to all trains and/or engines affected;
   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information to each train or engine;
   - Check the employee's repeat of the authority, and if correct "complete" the authority.
3. **While the Rule 567 authority is in effect, the RTC must:**
   - Maintain signal blocking against all other trains and engines and must not authorize any other train or engine to enter the affected limits, until the authority is cancelled;
   - If required, issue applicable authorities, to trains or engines addressed, to enter the joint authority limits;
4. **Signal blocking must be maintained until all addressed trains and/or engines have cancelled their authority except as stated in the exception to Rule 567 (c).**

753. ISSUING RULE 568 AUTHORITY TO ENTER THE MAIN TRACK

Rule 568 authorities may be given Verbally, or in Writing:

Verbal permission can be used when a train or engine is entering main track at a hand operated switch;

- Equipped with an electric switch lock; or
- When the crew is in possession of a Rule 566 or 567 Authority.

Written authority must be utilized when a train or engine is entering main track at a hand operated switch;

- NOT equipped with an electric lock; or
- When it is necessary to break the seal on the electric switch lock, or the seal has already been broken.

1. Prior to issuing a Rule 568 authority, the RTC must:

- Have a clear understanding with the train crew as to the entry location and direction of travel;
- Ensure there are no conflicting train or engine movements authorized within, or authorized to enter the controlled block affected, by checking one or more of the following:
  - Record of arrivals or departures by the automatic reporting feature of the CTC control equipment;
  - Record of authorities issued and still in effect; or
  - Voice communicate with movements within the block or receive verification from the entry train or engine that conflicting movement is by the proposed entry point;
- Block at stop all signals governing movements into the affected block.

2. When issuing a Rule 568 authority, the RTC must:

- Verify from the track line display that blocking has been applied correctly;
- Read, and if OK, acknowledge all control system prompts.
- **Transmit VERBAL authority as follows:**

  "PERMISSION GIVEN TO <train designation>
  TO ENTER <track designation> TRACK <location> AND
  PROCEED <authorized direction of travel>"
  A member of the crew must repeat the permission back to the RTC.
- **Transmit WRITTEN authority as follows:**
  - From the prescribed form, all applicable preprinted and RTC entered information;
  - Must indicate a mile location, not a station name;
  - Check the employee's repeat of the authority, and if correct "complete" the authority.

3. While the Rule 568 authority is in effect, the RTC must:

- Maintain signal blocking until movement has exited the controlled block;

NOTE: Blocking for following trains and engines may be removed when it has been reported that the movement has entered the main track and has commenced movement in the authorized direction.

754. RULE 567.1 - TRAIN OR ENGINE INTO A FOREMAN'S TOP

1. **Prior to issuing a Rule 567.1 authority, the RTC must ensure that:**
   - There are no other train or engine movements authorized within, or authorized to enter the requested limits;
   - There is only one TOP in effect within the limits of the joint authority;
   - The limits and track designation of the Rule 567.1 authority and TOP are identical;
   - The applicable authorities are issued in the proper sequence:
     - First, issue TOP to foreman;
     - Then issue Rule 567.1 authority to train or engine.
2. **Issue appropriate additional authority to the train or engine to enter the TOP limits as follows:**
   - If entering at a controlled signal - **Rule 564;**
   - If entering at a hand operated switch - **Rule 568;**
   - If entering at a hand operated switch and will be reversing direction within the block - **Rule 566;**
   - If already within the limits, and subsequently movement will require reverse movements - **Rule 566.**

   Note: The limits of the Rule 566 authority MUST be the same or exceed the limits of the TOP.
3. **During the issuance of a Rule 567.1 authority, the RTC must:**
   - Verify that blocking has been applied;
   - Read, and if OK, acknowledge all control system prompts;
   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information;
   - Check the employee's repeat of the authority, and if correct "complete" the authority.
4. **While the Rule 567.1 authority is in effect, the RTC must:**
   - Maintain signal blocking against all trains and engines;
   - NOT authorize any other train or engine to enter the affected limits;
   - NOT issue another TOP within the limits of the Joint Authority.

755. AUTHORIZING TRAINS FROM CTC TO OCS

When a CTC location controls movement into OCS territory, the CTC RTC must obtain permission from the OCS RTC, verify from CAMBS that a clearance has been issued, or receive verbal information from the train crew that they are in possession of an OCS clearance before clearing signal or issuing a Rule 564 into OCS territory unless the CTC RTC also controls such OCS territory. i.e. RTC may use blocking as a reminder to call other RTC.

756. LINING SWITCHES PRIOR TO REQUESTING A SIGNAL

RTCs may choose to manually line switch(es), for the route to be cleared, prior to requesting a signal. i.e. in circumstances of slow code line, winter conditions, etc.

757. OFFICE AND FIELD FLEETING

Fleeting provides for the automatic clearing of subsequent signals for the same route. Fleeting may be used at a single controlled location or a number of controlled locations.

Fleeting may be activated by means of the CTC control system. In the case of Field Fleeting the office sets a relay in the field, which must be cancelled by separate control from the office. A signal maintainer in the field at a local control panel may also set this relay for fleeting.

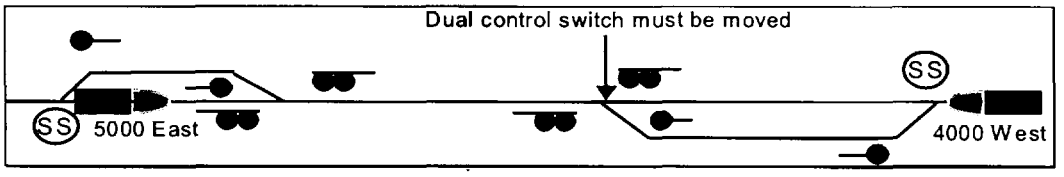
Prior to issuing any authorities in the block affected, the RTC must ensure all fleeting, office and/or field, has been deactivated and signals restored to STOP.

758. ESTABLISHING BUFFER ZONES ON A RULE 564 AUTHORITY

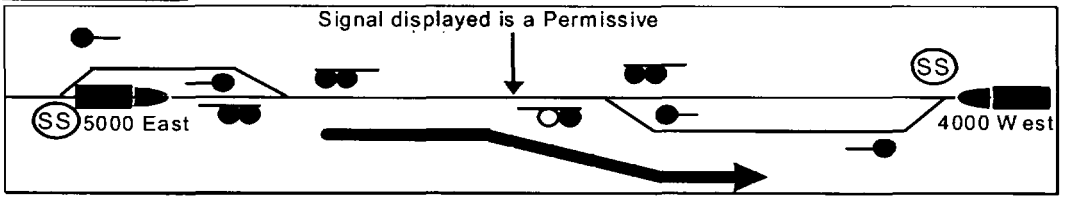
1. **The CTC control system should be used as the primary means of establishing a buffer zone as follows:**
   - Perform a switch move function on switches at the next controlled location, and if applicable at the controlled location within the route governed by the Rule 564, to ensure signals governing movement into the buffer zone are at Stop.
   - Perform a successful signal request(s) at controlled locations to provide protection against conflicting movements.
   - In all cases, one controlled block buffer zone has to be maintained against conflicting movements. Unless it can be proven by the above, that signals are displaying a Stop indication, any trains within the buffer zone will have to be stopped at a stop signal and instructed to remain stopped regardless of indication displayed, or issued the message outlined below prior to issuance of the Rule 564.

   The following diagrams explain this method:

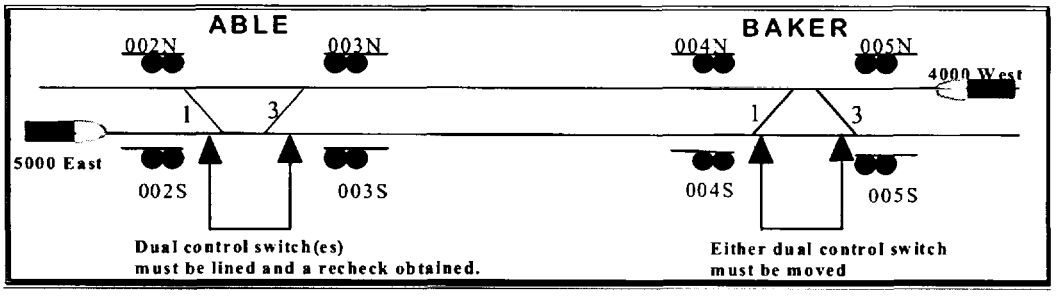
   SINGLE TRACK - Rule 564 to 5000 East



   SINGLE TRACK - Rule 564 to 5000 East



   MULTITRACK - Rule 564 to 5000 East



2. **If unable to apply buffer zone protection by using CTC control system, the RTC must secure conflicting movements by:**
   - applying the applicable signal and/or switch blocking
   - ensure conflicting movements are stopped at a STOP signal and held, otherwise, issue the following GBO/message in writing:

     "DO NOT PASS SIGNAL <signal number> AT <location>
     REGARDLESS OF INDICATION DISPLAYED UNTIL
     PERMISSION HAS BEEN RECEIVED FROM THE RTC."

   Note: After above GBO/message has been issued RTC may verbally release the movement when all requirements have been met.

759. PENDING SIGNAL "REQUEST"

RTCs should be aware that when a signal is requested it may be held in a pending mode and that RTC panel indications have not yet been updated. Therefore, any subsequent request to cancel the previously requested signal must NOT be initiated unless the indication in the field has been verified by an employee or a train crew member at the field location. The indication on the control console must not be used as verification that such signal is at STOP.

760. CODE LINE FAILURE

In the event of a code line failure, severed or otherwise disabled, the indications and display on the control console must not be used as verification of a field condition or train location.

761. ISSUING RULE 564 AUTHORITY IN ADVANCE.

Rule 564 authority may be given in advance of the train or engine arriving at the STOP signal but RTC must ensure proper identity of the train and it's location in relation to the stop signal. Additionally the RTC may issue a series of consecutive Rule 564 authorities.

762. REDUCED SPEED PROVISION RULE 564 AUTHORITY

1. **RTC must obtain permission from the MCO, who will ensure criteria for utilization have been met.**

The following are examples of known conditions:

- electrical storm,
- forest fire,
- signal bungalow damage,
- planned outage (e.g. signal testing),
- switch problems at a control location,
- imperfectly displayed signal and
- other conditions causing similar outages.

2. **Prior to issuing authority at REDUCED SPEED the RTC must ensure:**

- The controlled block has been patrolled and it has been reported that the track is safe for movement at REDUCED SPEED; or
- A preceding movement has operated through the block at RESTRICTED SPEED and has reported that there are no misaligned switches or broken rails in the block; or
- There are no misaligned switches or broken rails within the controlled block by either:
  - determining that there are no block down via track line display;
  - receiving a Station RECHECK from stations at either end of the block;
  - clearing an opposing permissive signal into the affected block. Once confirmed, such signal must be cancelled. **Note:** This does not apply to controlled blocks equipped with intermediate signals.

3. **When issuing authority the RTC must specify in the route field or in the free form section of the authority the following:**

Speed of train:

e.g. Proceed via "NORTH TRACK AT REDUCED SPEED" or
"YOUR TRAIN MAY OPERATE AT REDUCED SPEED".

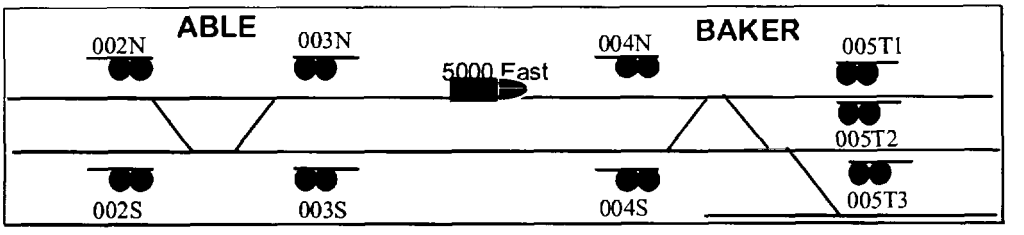
The status of equipment in the block:

e.g. "<train(s)> OPERATING AHEAD IN THE BLOCK" or
"THERE IS NO EQUIPMENT AHEAD IN THE BLOCK".

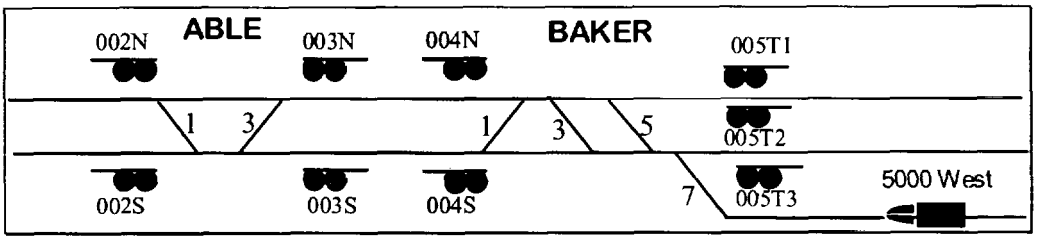
763. RULE 564(e) SPECIFYING ROUTE - MULTITRACK

When issuing a Rule 564 Authority the following must be used when specifying a route:

1. RTC will specify only where train is operating to.
   i.e. Rule 564 authority to 5000 East would specify: "proceed via No 3 track".



2. When there is more than one crossover that can be used for the same route, RTC would specify only the name of the track train would be operated to and crossover to be used.
   i.e. Rule 564 authority to 5000 West would specify: "proceed via No 3 xover to north track."



764. RULE 564 - PRECEDING TRAIN(S)

When a preceding train has entered the block by signal indication or on a Rule 564 authority, and is entirely within that block, it is permissible to authorize a following train into a controlled block before the preceding train has been reported clear of the block.

765. RULE 564 - SIGNAL RUNNING TIME

If a signal has been cleared and cancelled, it is permissible to issue a train or engine a Rule 564 before the timing feature has expired.

766. RULE 566.1 - SIGNALS SUSPENDED WHILE SWITCHING

A. First Move over Dual Control Switch Authorized in Hand Position

If the train is required to pass a controlled signal at the controlled location encompassing the switch, the first movement past the controlled signal must be either by signal indication, or Rule 564 authority

B. Locations with Multiple Dual Control Switches.

If switching is to be performed over a dual control switch, and there are other dual control switches within the controlled location for the required route they must be lined and locked until the Rule 566 authority is cancelled.

767. RULE 567.1 - JOINT WORK AUTHORITY TRAIN OR ENGINE AND TOP, TRAIN ALREADY WITHIN LIMITS

The following procedure must be followed when a train or engine is currently occupying the limits and it becomes necessary to bring a foreman into these limits to do track work:

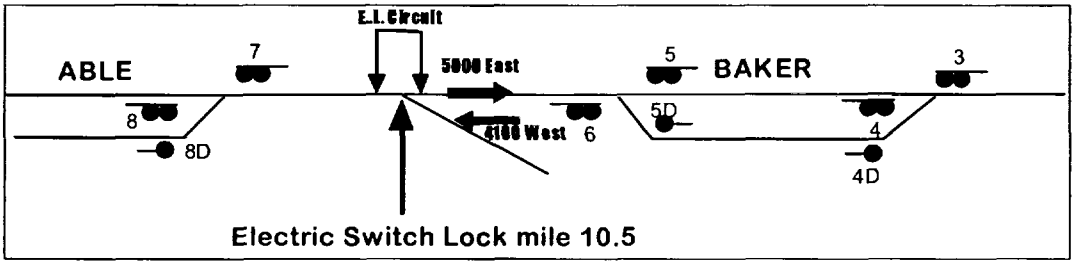
1. Prior to issuing authority to the train or engine currently within the proposed limits, RTC must ensure train is stopped and informed of the situation;
2. Joint authority may now be issued to the train or engine;
3. RTC may now issue TOP to the foreman.

NOTE: The same application would apply to a non-signalled siding in CTC except that a Rule 566 would not be required if train was required to make a reverse movement within such siding.

768. RULE 568 - ENTRY TO THE MAIN TRACK AT AN ELECTRIC SWITCH LOCK WHILE A TRAIN IS STILL IN THE BLOCK

RTC must ascertain that any conflicting train or engine is by the location of the electric switch lock before verbal permission is given to enter the main track.

In the diagram shown below 4100 West cannot be given permission to enter the main track at mile 10.5 until RTC has ascertained 5000 East has cleared electric switch lock circuit at mile 10.5. This applies whether 4100 West would be operating eastward or westward.



769. FULFILLING AND CANCELLING AUTHORITIES IN CTC

All CTC authorities may be cancelled. Optionally, Rule 564, Rule 568, and Rule 567.1 authorities may be fulfilled.

The following general principle applies:

1. The "Cancel" feature in the system will be used when NO PART of the authority has been acted upon.
2. The "Fulfill" feature in the system will be used when ANY PART of the authority has been acted upon.

770. RULE 564 - FULFILLING OR CANCELLING

1. **To FULFILL a Rule 564 authority, the RTC must:**
   - Obtain a verbal report from the train crew that the movement has completely cleared the controlled location to which the authority applied, or the movement has exited the controlled block; (Protection for opposing movements remains in effect)
   - Mark the Rule 564 authority as "FUL" when ANY PART of the authority has been acted upon.

   Note: A clear signal exiting the block may be used to provide protection against opposing movements.

2. **Cancelling a Rule 564 authority, the RTC must:**
   - Ensure that NO PART of the authority has been acted upon;
   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information;
   - Verify the correct receipt of the transmitted information;
   - Ensure applicable signal and/or switch blocking is removed.

771. RULE 566 - CANCELLING

1. **Prior to cancelling a Rule 566 authority, the RTC must:**
   - If the train or engine is still within the limits of the authority, ascertain the intended direction of travel;
   - Maintain signal blocking against opposing trains or engines until the protected train or engine has cleared the controlled block;

   Note: A clear signal exiting the block may be used to provide protection against opposing movements.

2. **When cancelling a Rule 566 authority, the RTC must:**
   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information;
   - Verify the correct receipt of the transmitted information;
   - Ensure applicable signal and/or switch blocking is removed.

772. RULE 567 - CANCELLING

When cancelling a Rule 567 authority, the RTC must:

- Cancel the authority to each train or engine addressed, as each train or engine exits the limits of the authority. Not applicable to the last train holding the authority;
- When cancelling the authority to the last train or engine, and that train or engine is still within the authority limits, ascertain the intended direction of travel;
- Maintain signal blocking against opposing trains or engines until the last train or engine within the limits has cleared the controlled block;

Note: A clear signal exiting the block may be used to provide protection against opposing movements.

773. RULE 567.1 - FULFILLING OR CANCELLING

1. **A Rule 567.1 may be considered FULFILLED and the authority cancelled or fulfilled in the system when:**

   - The authority to enter the TOP limits was a Rule 564 or Rule 568 authority; and
   - The RTC has verified that the train or engine has left the limits of the Rule 567.1;

2. **A Rule 567.1 must be CANCELLED when:**

   - The train or engine has been issued a Rule 566 authority in conjunction with the Rule 567.1 authority, or
   - The Rule 567.1 authority has not been acted upon;

   Note: Prior to cancelling the Rule 567.1 the RTC must verify that the train or engine has left the limits of the Rule 567.1 or the TOP has been cancelled to the foreman.

3. **When cancelling a Rule 567.1 authority, the RTC must:**

   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information;
   - Verify the correct receipt of the transmitted information;
   - Ensure applicable signal and/or switch blocking is removed.

774. RULE 568 - FULFILLING OR CANCELLING

1. **To FULFILL a Rule 568 authority (written or verbal), the RTC must:**

   - Obtain a verbal report from the train crew that the movement has entered the main track and has commenced movement in the authorized direction;
   - Maintain protection for opposing movement;
   - Mark the Rule 568 authority as "FUL"
   - Remove protection against opposing movement when either a signal is cleared for the train or engine to exit the controlled block or the train or engine has exited the controlled block.

2. **To CANCEL a Rule 568 authority, the RTC must:**

   - Obtain a verbal report from the train crew to ensure the movement has not acted on the authority;
   - Transmit, from the prescribed form, all preprinted and RTC entered information;
   - Verify the correct receipt of the transmitted information;
   - Ensure applicable signal and/or switch blocking is removed.

   Note: When VERBAL authority is cancelled, RTC must instruct the train or engine NOT to enter the main track and ensure the train crew repeats the instruction and has a clear understanding.

775. RECHECK PROCEDURE

A field station will send an indication back to the office when there has been a change in status in the field; for example, a switch has moved or a track has become occupied. The RTC may request a status check even though no changes have occurred at that field location by means of sending a recheck.

Rechecks using Train Track CTC System

There are two ways to do a recheck: after selecting the recheck function from the toolbox you can click on a display element such as a switch, track, or a signal at that location, or click on the station name. RTCs should be reminded that asking for a recheck on a station name is a lot slower than clicking on an element because the system may require rechecks from more than one station to fulfill this request. The preferred method is to ask for a recheck of one element (such as a switch) the code unit will always send back all indications from that field location.

At certain locations where there is more than one code unit a recheck must be done on more than one element; e.g. for a Rule 564, a recheck must be requested for each switch in the route individually.

Note 1: If block occupancy is evident RTC can still accept indications that switch is in normal position if a recheck has been completed.

Note 2: When signal code line is slower than normal, the problem may become more pronounced if RTC continues to send rechecks and requests must be kept to a minimum.

776. INFORMATION ON OCCUPANCY OF SIDINGS

If a train crew requests information from the RTC whether or not a siding is occupied with equipment, RTC can advise the crew that the siding is or is not occupied.

777. LOCAL CONTROL (OR FIELD CONTROL)

A CTC local control panel is a panel in the field displaying a track diagram for a specific location corresponding to that section of the track diagram in the RTC office. When operative, each panel indicates physical track, switch and signal conditions at that specific location; and may be used by authorized signal personnel for maintenance tests, or to control the movement of trains and engines by signal indication in accordance with instructions from the RTC.

Local control is usually used for test purposes of the OS tracks within a controlled location or to avoid lengthy train delays during code line failures.

When an RTC grants permission for use of local control, they will be unable to control that location from the control console until signal maintainer returns control to the RTC.

The following guidelines must be followed when local control is being used for testing of OS tracks at a controlled location:

1. This instruction may be used only for the testing of the OS track and must not be used for construction or track work purposes. If track work is required employee will be governed by Rules for the Protection of Track Units and Track Work.
2. Before signal personnel can put a location in local control, permission must be obtained from the RTC and must be repeated back before being acted upon.
3. Such request **will not be granted** if there are trains, track units or foremen authorized by applicable signals or written CTC authorities within or overlapping the requested limits.
4. Once permission has been granted, the RTC must ensure that no written authorities are issued that would permit a train or engine to enter the limits.

When local control is no longer required it must be cancelled promptly by a signal employee and repeated back by the RTC.

TRACK UNITS AND TRACK OCCUPANCY PERMITS

SECTION 4

SECTION 4

778. MANAGING ISSUANCE OF TOPS.

1. The RTC is responsible for the organization and protection of maintenance of way employees working on or near the track who may require TOP protection. Proximity of trains, other foremen, and other authorities in effect, are factors to be considered prior to issuance of a TOP.
2. When "prompts" to the RTC are generated by the control system at the time a TOP is issued, the RTC must respond to them prior to proceeding to the next step in the issuance of the authority. These prompts are a safety enhancement and under no circumstances are the RTC to by-pass or ignore these prompts.
3. The RTC must take extra precautions prior to issuing any TOP, whenever it is suspected that the CTC is malfunctioning, i.e. Code line failure, CTC fails to properly track a train or engine; or code line is excessively slow.
4. RTC must not issue a TOP to or from a spring switch unless the control system can block to or from that spring switch.

779. ISSUING A TRACK OCCUPANCY PERMIT (TOP)

1. **Prior to issuing a TOP the RTC must:**
   - Have a clear understanding of the request as to:
     - the location of the Foreman,
     - the limits and tracks to be used,
     - the duration of the protection required,
     - the type of work to be performed and it's effect on the signal system.
   - Ensure there are no conflicting train or engine movements within or authorized to enter the requested limits by checking track diagram for train ID and/or block occupancy;
   - Block at Stop all devices controlling signals governing the movement of trains or engines into the limits to be granted, and when practicable, line and lock switches to prevent trains or engines from entering the limits;
   - At locations where a signal controls the movement of trains or engines over more than one route and where it is not practicable to block the signal at Stop, switches must be lined and locked away from the protected track;
   - If a unknown track occupancy is present, ascertain the exact location of all trains/engines in the vicinity of the proposed TOP by radio communication;
   - Apply the required signal and switch blocking, and verify from the track line display, that all blocking has been applied correctly;
   - Whenever possible, use exit signals to identify the limits of the authority.
2. **During the issuance of a TOP, the RTC must:**
   - Read, and if OK, acknowledge all control system prompts;
   - Transmit, from the prescribed form, all applicable preprinted and RTC entered information including a call before time;
   - Verify the correct receipt of the transmitted information by checking the repeat of the TOP and if correct make it "complete".
3. **A TOP remains in effect until cancelled or superseded, and the RTC must maintain blocking until the TOP is cancelled or superseded.**

780. CANCELLING A TRACK OCCUPANCY PERMIT (TOP)

- Establish communication with the Foreman;
- Have a clear understanding of which TOP (authority No. and limits) is to be cancelled.
- Read from the TOP being cancelled:
  - the TOP number,
  - the Foreman's name,
  - the limits of the permit,
  - the cancellation time,
  - the RTC's initials.
- Receive acknowledgment from the Foreman who must repeat:
  - the TOP number,
  - foreman's name,
  - the cancellation time,
  - the RTC's initials.

EXAMPLE:

Foreman: "Foreman Smith, OK to cancel TOP No. 333 on main track between Baker and Charlie."

RTC: "TOP No. 333 to Foreman Smith between Baker and Charlie is cancelled at 1131 RTC AAA."

Foreman: "TOP No. 333 to Foreman Smith cancelled at 1131, RTC AAA."

- **Ensure signal and/or switch blocking is removed from the control system for the cancelled TOP.**

781. BEHIND TRAIN TOP

In addition to the requirements of Item 779, the RTC must:

- Verify trains or engines within the block have left the location where the foreman will enter the main track by:
  - Visually observing the display panel and using automatic reporting features;
  - Obtaining and recording a location report directly from the foreman, train or engine as follows:

    Foreman: "This is Foreman Jones at Baker, 5544 E has departed siding East Switch Baker at 1130"

    RTC: "Foreman Jones, 5544 East has departed siding east switch Baker at 1130, is that correct?"
- Ensure that the TOP limits do not extend beyond the next controlled signal ahead of the train;
- Ensure trains or engines are NOT authorized to make a reverse movement within the limits of the TOP.

NOTE: **A foreman may be issued a Behind Train TOP within the limits of 2 trains that are operating in opposite directions. After the two trains pass the location where the foreman will be entering the main track, the foreman could follow either train.**

782. JOINT AUTHORITY ON NON - SIGNALLED SIDINGS IN CTC

When a TOP is in effect in a non-signalled siding the RTC must issue Rule 567.1 to the train or engine. If a train or engine is already occupying the siding then Rule 567.1 will be issued to the train first and then the foreman would be issued a TOP.

783. PROTECTION OF PROPANE TRUCK VEHICLE IN OPERATION

Hi-Rail propane fuel trucks are operated in order to refuel propane - fired switch heater storage tanks at various locations.

When protecting the movement of a Hi-Rail Propane truck during refueling operations, the RTC must:

- Issue an Exclusive TOP;
- Ensure no other TOP is in effect within the requested limits;
- Ensure no Rule 42s are in effect within the proposed limits;
- Ensure no train or engine is permitted to enter such limits under joint authority;

Note: If propane truck is required to operate in OCS territory, WAM blocking must be used to provide Exclusive protection.

784. SPECIAL TRACK UNIT TOP

1. **Prior to issuing a Special Track Unit TOP, in addition to the requirements of Rule 803 the RTC must:**
   - Ensure that no train or engine is within or authorized to enter the requested limits;
   - Ensure there are no other Top within the requested limits;
   - Issue a TGBO to the Foreman in charge of the Unit;
   - A DOB may be used in lieu of a TGBO where applicable if in possession of any GBOs for the limits..

2. **While a Special Track Until TOP is in effect the RTC must not:**
   - Authorize another TOP within the limits;
   - Issue Rule 42, 43, or Form DL to be in effect within the limits.

RTC CONTROL SYSTEM FAILURES

SECTION 5

SECTION 5

785. CAMBS COMPUTER FAILURE

1. Immediately advise Manager Rail Traffic Control Centre.
2. Permission must be obtained from Manager Rail Traffic Control Centre before manual operation can be utilized.
3. Immediately advise Signals and Communications (S&C) technician.
4. Determine which OCS clearances are in effect, using the work sheet and/or the printed OCS Clearance Summary.
5. Determine which switches are in the reverse position, by going back to the last transfer to get the most up - to - date information and then working forward and updating the switch position.
6. Assemble OCS clearance summary, switch position summary and OCS clearances in effect from the printed copies and paste then in an OCS clearance book.
7. Issue subsequent OCS clearances in the OCS clearance book.
8. After switching to manual operation, avoid issuing OCS clearances with restrictions to protect against a foreman and/or a train unless absolutely necessary. Contacting the train or foreman involved and cancelling their OCS clearance can eliminate these conflicting authorities.
9. **Before issuing an OCS clearance the RTC must:**
   - Enter train/foreman identification on the work sheet.
   - Record any switch(es) left in reversed position on the train/work sheet.
   - Check train/work sheet for conflicting movements (i.e. trains/foremen).
   - Check clearance book for conflicting movements (i.e. trains/foremen).
   - In manual operation, granting permission to leave switches in reverse position should be avoided. If a switch is already in reverse position the RTC is responsible to protect same on all subsequent clearances.

   Note: All clearances issued to foreman/ work trains should be cancelled as soon as possible.

786. CAMBS RETURNED TO SERVICE

When the computer - assisted OCS is restored to service after manual operation, the assistance of a second RTC must be used to update CAMBS.

1. **Prior to using recovery - completed function:**
   a) Depending on length of the failure, all active clearances in the system may have to be cancelled before entering any new clearances;
   b) Update switches from switch position summary pasted in the OCS clearance book.
2. **Reenter all active OCS clearances In effect from the OCS clearance book in the following manner:**
   a) The first RTC will read each clearance from OCS clearance book to the second RTC who will input the information into CAMBS as it is read;
   b) The RTC inputing the clearance into CAMBS will repeat to the other RTC;
   Note: When inputing clearance RTC must make sure year is between 1995 and 1999;
   c) The RTC with the OCS Clearance book will verify by underscoring each clearance as they are repeated back;
   d) When input has been completed, RTC must contact each train and foreman and issue a superceding clearance using cancel and reissue feature to ensure proper date and year is recorded in the system.

RTC CONTROL SYSTEM FAILURES

787. SUSPECTED SIGNAL CONTROL DEVICE MALFUNCTION

Whenever it is suspected that signal control devices are malfunctioning, the RTC must take extra precautions in verifying:

- Train or engine locations;
- Determining if signals are active; and
- Any other factors that may affect the safety of personnel in the field.

788. GBO SYSTEM FAILURE

The following procedures were developed for use when the GBO System fails and it becomes necessary to operate manually.

PROCEDURES TO BE FOLLOWED WHEN THE SYSTEM FAILS:

When the GBO System fails, an approximate duration of down time must be secured from Signals and Communications technicians. Once this estimate has been secured, the Manager of the RTC Centre or designate will decide whether or nor to operate manually.

(A) PLANNED OUTAGES

- **Upon notification from the S & C that a planned outage will occur, the following applies:**
    1. Print all applicable Summary Screens (<shift> + <F9> while viewing the summary).
    2. Print all GBOs with exceptions;
    3. Print all train specific GBOs;
    4. Prepare a transfer to your own desk;
    5. Log - off (Option 9 on the Main Menu);
- **Upon notification from the S & C that the system is back on - line, the RTC must:**
    1. Log - in to the TGBO system by opening a Telnet Session for their desk.
    2. Enter initials into the system and accept the transfer.
    3. Compare the current TGBO, DOB and GBO Summary Screens in the system with the previously printed summaries.
- If **ALL** items are recovered on **ALL DESKS**, normal use of the system may begin.
- If any items are **NOT** recovered, the MCO and S&C call desk must be notified immediately, and the system must not be used until the problem has been investigated by the S&C Department.
- The MCO should commence preparation for Manual operation immediately.

(B) TOTAL GBO SYSTEM FAILURE (UNPLANNED OUTAGE)

Manual Operation Overview

- Corridor Backup TGBOs are maintained to cover major corridor routes as well as Branch line operations. These Backups will be used similar to a DOB document and will be individually addressed to trains by the RTC.
- **To commence manual operation, the following documents will be used:**
  1. Applicable number of desk backup TGBOs;
  2. The current Desk TGBO Summary;
  3. The current desk GBO summary;
  4. The current DOB (where applicable).
- The RTC's will obtain a copy of their desk Backup and verify that this document is complete and up to date.
- **The RTC must:**
  1. **In the General Purpose Book paste a copy of:**
     a) The current TGBO summary;
     b) The current GBO summary;
     c) Of each train specific GBO requiring protection by the RTC (i.e.: DL Load);
  2. **Have a copy of:**
     a) The desk Backup TGBO accessible;
     b) Have a current DOB (where applicable) accessible;

Note: RTC must ensure documents pasted into General Purpose Book are current, to ensure no GBOs have been issued after summaries have been produced.

- GBOs issued during TGBO system failure must be protected. The RTC must ensure blocking (WAM, JJJ or other blocking) has been entered into the desks control system for all items requiring protection.
- RTCs will protect and issue any GBO exceptions to the Desk Backup TGBO(s) and any GBO exceptions to TGBO(s) in effect prior to the system failure, as required. Any GBOs that will have to be issued to the field are to be written into the General Purpose book, with the body of the order on the right hand page and the train addresses requiring the GBO on the left hand page.
- The RTC, using a series of numbers assigned for manual GBO operation, is now ready for manual operation.
- When a train crew requests a TGBO, the RTC will fax copies of the applicable Corridor Backup TGBO(s) as well as copies of the applicable DOB(s) if required. When receipt of the Corridor backup TGBO is confirmed, the RTC will issue authorization for use of this backup and transmit this information to the train crew who will repeat back to ensure correctness. The RTC will give a complete time and initials.
- The "applicable on" field of the Authorization Stick-in Form may be issued as Applicable on: territory as listed below.

Exception: A train or engine may be authorized to use only a portion of the applicable Corridor Backup TGBO. **E.g.** Applicable on Able and Baker subs. only.

- After manual operation has commenced, train specific GBOs (not requiring protection by the RTC), e.g. "This TGBO cancelled at...." will be retrieved and pasted in the General Purpose Book.
- Only requests of an emergent nature will be accepted from the field. Future requests may be copied on an applicable form, and placed on file for entry when the TGBO system becomes operational. The foreman requesting the GBO must be informed of this.
- If an emergent GBO is requested within common track, the RTC must protect the situation by issuing to adjoining RTC(s).

(C) GBO SYSTEM RECOVERY FROM MANUAL OPERATION.

- **The following steps are to be followed in sequential order once the GBO System has become operational:**

1. Each RTC desk will log into the TGBO system and compare the GBO, TGBO and DOB summaries to the corresponding summaries printed when the system first failed.

2. Any TGBOs which have been fulfilled, or any TGBOs for which cancellations have been issued in the General Purpose book are to be removed from the system with the assistance of a second RTC as follows:
   a) The first RTC will read GBO from General Purpose Book to the second RTC who will input the information into the system as it is read;
   b) The RTC inputing the TGBO fulfillments or cancellations into system will repeat to the other RTC.
   c) The RTC with the General Purpose Book will verify by underscoring each TGBO as they are repeated back.

3. Any DOBs which have expired are to be retired, except for DOB extensions that were issued.

4. RTC must ensure DOBs that have been extended are either entered into the system or protected.

5. Trains still operating on Backup TGBO authorization must be entered into the GBO System **prior to entering or cancelling any GBOs.**

6. All GBOs from the General Purpose Book are to be entered into the TGBO system.

7. All new GBO requests on file (that are effective in the future) are to be entered into the GBO System.

8. All cancelled GBOs are to be cancelled into the GBO System.

9. As they are entered into the system, the GBOs in the General Purpose book are to be initialled off and a notation made of the GBO number from the GBO System as follows:
   a) The first RTC will read GBO from General Purpose Book to the second RTC who will input the GBO into the system as it is read;
   b) The RTC inputing the GBOs into system will repeat to the other RTC.
   c) The RTC with the General Purpose Book will verify by underscoring each GBO as they are repeated back.

10. ALL RTC desks must have the GBO System current before ANY TGBOs or New DOBs are created.

11. Trains operating on Backup TGBO(s) will continue until their Backup TGBO(s) are fulfilled. As each train fulfills the Backup TGBO, the applicable authority is to be initialled off in the General Purpose book.

12. Once all GBOs and TGBO authorities in the General Purpose book have been transferred to the system or fulfilled, the book and associated material must be returned to the desk envelope for future use.

13. Should a transfer between RTCs become necessary, the requirements of Rule 148 are applicable.

(D) FAX HANDLER FAILURE / OFFICE FAX MACHINE FAILURES (FAX HANDLER DISABLED):

Print TGBOs / DOB's on printer (Highlight applicable TGBO and press <F9>) and fax this copy manually.

(E) FIELD PHONE LINE FAILURE

If available use field backup, send documentation to alternate fax machine at the field location (if available) or issue authorization to proceed on Voice Transmitted TGBO.

(F) FIELD FAX MACHINE FAILURES

Send documentation to alternate fax machine at the field location (if available) or issue authorization to proceed on Voice Transmitted TGBO.

(G) TGBO TO BE REACTIVATED

If train crew has a retired TGBO available it can be reactivated when necessary during fax machine failures.

789. CTC CONTROL SYSTEM FAILURES

Where computer - assisted CTC control systems are in use in an office and the computer system has failed and will not provide blocking, the following instructions must be adhered to:

TOPs, Rule 566, 567 and 568 (written authorities) require the RTC to maintain signal blocking; therefore, they cannot be issued when the computer - assisted system is unable to generate this blocking.

Rule 564, 610 and Verbal 568 may be issued using the following procedures:

1. Permission from the Manager RTC Centre or MCO must be obtained.
2. The location of all conflicting train and engine movements must be determined by:
   (a) Checking records of arrivals and departures by work sheet entries or by printouts where electronic train sheets are available,
   (b) Checking printed records of authorities issued and still in effect,
   (c) By actual voice communication with such movements.
3. The location of all Track Occupancy Permit authorities must be determined by checking printed records.
4. All existing movements and authorities must be recorded on the train sheet. All new authorities must be recorded on the train sheet before being issued to the users.
5. From the last active summary assemble all authorities in effect from the printed copies in a suitable general purpose book. Issue subsequent authorities in this book.
6. The first opposing train or engine due to enter the territory in which such authorities are to take place must be secured by issuance of the following written instruction :
   "Do not pass signal_____ at_____ regardless of indication displayed until permission has been received from the RTC".
7. When the computer is restored to service, the RTC must immediately apply the required blocking and compare the outstanding authorities with the active authorities that were pasted in the general purpose book. To ensure the integrity of the comparisons, the assistance of a second RTC must be used to verify entry of all outstanding authorities.

EMERGENCY PROCEDURES

SECTION 6

SECTION 6

790. LOSS OF BLOCK OCCUPANCY IN CTC

When an RTC notices a lost block occupancy indication while a train, engine movement or equipment is occupying a signalized block(s) the following procedure must be followed:

1. Apply JJJ or WAM blocking within the block(s) affected;
2. Advise Signals and Communications and Manager RTCC or MCO immediately;
3. No further signals are to be requested or cleared within these limits or block until Signals and Communications have verified the integrity of the block indication;
4. Trains are to be operated under Rule 564 authority and the blocking to be maintained until the train has exited the block;
5. No follow up movements are to be authorized until preceding movement has exited the block;
6. Signals and Communications will authorize a return to normal operation.

791. AUTHORITY ACCIDENTALLY REMOVED FROM CTC CONTROL SYSTEM

1. **If the error is detected before another train or engine or foreman has been authorized within the affected limits, the RTC must:**
   (a) Immediately contact train or foreman and issue new authority.
   (b) RTC will arrange to print a hard copy of previous authority and cancel this authority using the hard copy.
2. If the error is **not** detected before another train or engine or foreman has been authorized within the affect limits, the RTC must:
   (a) Immediately contact all trains, engines or foreman within the affected limits and advise them to stop immediately, and if necessary protect as prescribed by Rule 35. In addition they must be instructed not to recommence movement until further advised by the RTC; and
   (b) Enter a WAM or JJJ in the affected limits. The free - form section of the WAM or JJJ must indicate the train or engine designation or the foreman's name along with the authority number.
3. A new operating authority must be issued to the train, engine or foreman as soon as possible, and then original operating authority can be cancelled. Cancellation of the authority, which had been removed from the system, will be accomplished by using the hard copy.
   Note: Hard copies to be pasted in a general purpose book.
4. WAM or JJJ can now be cancelled by the RTC. In the event a new operating authority cannot be issued a hard copy of the WAM or JJJ must be transferred to the relieving RTC.

   NOTE: In all cases where an authority has been inadvertently removed from a control system the Manager RTCC or MCO must be advised as soon as possible after the situation has been protected.

5. **If another train, engine or foreman has been authorized, issue appropriate authorities to those movements if necessary.**

EMERGENCY PROCEDURES

792. PROTECTING ERROR IN CAMBS COMPUTER

(A) UTILIZING THE CANCEL AND RE-ISSUE FEATURE (SUPERSEDING) AND AN ERROR HAS BEEN DETECTED

1. RTC must apply WAM blocking immediately and advise MCO.

2. If the error is detected after the complete time has been generated by the computer, but before the complete time has been transmitted to or acknowledged by the employee copying the clearance in the field, simply press ESCAPE key and the clearance will go into HOLD FORMAT. The system will protect both the clearance you were about to cancel and the new incorrect clearance.

3. WAM blocking must now be applied to encompass the train, or foreman you wish to protect (JJJ cannot be used while the computer is in **hold format)**. If there is no other way to rectify the situation you may then release the computer from the hold format by completing clearance. (F4)

4. If necessary, you can now cancel incorrect clearance, and then issue required protection by OCS clearance to the train, engine or foreman. Train, engine or foreman will be advised of the situation before new protection is issued. New clearance protecting train, engine or foreman will be issued and will include valid clearance authority still in the possession of the train, engine or foreman.

5. Using the hard copy of the clearance in possession of the train, engine or foreman, RTC will cancel this authority.

6. WAM or JJJ can now be cancelled by the RTC. In the event a new operating authority cannot be issued, a hard copy of the WAM or JJJ must be transferred to the relieving RTC.

(B) INPUT OF INCORRECT LOCATION REPORT (OS)

1. If the error is **not** detected before another train or foreman has been authorized into the affected limits or occupying main track within limits, RTC must immediately contact all trains and/or foremen within the affected limits and advise them to stop and protect as prescribed by Rule 35. In addition, they must be instructed not to recommence movement until further advised by the RTC.

2. You **must** now apply WAM or JJJ blocking to encompass the train or engine movement, or foreman. The free - form section of the JJJ or WAM must indicate the train, engine or foreman along with original authority number.

3. The RTC can now issue the required protection by OCS clearance to the train, engine or foreman. Train, engine or foreman will be advised of the situation before new protection is issued. New clearance protecting train, engine or foreman will be issued and will include valid clearance authority still in the possession of the train, engine or foreman.

4. Using the hard copy of the original clearance in the possession of the train, engine or foreman, RTC will cancel this authority.

5. WAM or JJJ can now be cancelled by the RTC. In the event a new operating authority cannot be issued, a hard copy of the WAM or JJJ must be transferred to the relieving RTC.

(C) CAMBS ABNORMALITY

If an RTC notices anything unusual to the normal operation of the CAMBS system, in order to record this problem RTC must press "Print Screen". Sometimes the logging system does not record everything, therefore if print screen is used S&C will be able to find the problem.

EMERGENCY PROCEDURES

793. RADIO COMMUNICATION FAILURE

In order to ensure optimal productivity and safety of operation, the following policy guidelines apply in the event of a radio communication failure involving three or more consecutive radio towers or a complete subdivision:

En - route trains

If possible, all en - route trains will be advised of problematic locations and may continue to operate to their objective terminal.

Trains at Terminals

All train and engine movements will be advised of problematic locations and will be provided with appropriate instruction as to measures taken to ensure optimal safety.

To ensure adequate emergency communication is provided, one or more of the following procedures will apply:

1. Cellular telephones will be provided where coverage is available.
2. The Engineering Radio System will be checked for availability and utilized as an en - route communication means.
3. Public or private telephone locations will be identified and crews instructed to call the RTC from specific locations.
4. Radio equipped road vehicles will be dispatched and strategically located to serve as a communication bridge.
5. Trains will be operated in tandem or by means of other similar arrangement from the terminal, and will maintain radio communication with each other throughout the defective area or until service is restored. It will be the responsibility of the leading train to ensure train - to - train communication is maintained with the following train or other vehicular communication source is arranged.

NOTE: The presence of radio failure in no way compromises the operating authority of trains. Trains will operate as per signal indication, clearance or other CROR authority, only to the extent of the limits granted by such authority.

794. RTC EMERGENCY FAILURE PROCEDURES

A. VIOLATIONS OF RULE 429 (STOP SIGNAL) AND TRACK AUTHORITY VIOLATIONS

When a train or engine passes a signal indicating STOP (i.e. violation of Rule 429), the RTC must:

1. Immediately make every effort by radio or whatever means available to:
   - Advise the locomotive engineer of the train or engine that passed the signal indicating STOP to STOP immediately;
   - Contact all movements and foremen in the controlled block affected, advising them of the violation;
   - (In multitrack) immediately provide protection to protect adjacent tracks when necessary.
2. Advise the MCO or Manager of the RTCC as soon as possible.
3. Immediately authorize the train or engine as follows:
   - In CTC a Rule 564 for a forward movement or a Rule 566 authority for a reverse movement applies with instructions to move at restricted speed within the limits;
   - WITHIN INTERLOCKING LIMITS RULE 609, 610 OR 611 APPLY;
   - Crew member must be instructed to remain stopped until permission to proceed is given.
4. When the MCO or their designate advises the RTC that the train or engine can be released, the RTC may give verbal permission to execute the above instructions.

NOTE: The above instructions also apply when there is a Rule 42 incident, OCS incident or a TOP incident. The only difference is RTC will provide movement and/or employee with the appropriate rules protection.

B. S & C ASSISTING RTC DURING CODE LINE FAILURE BY MEANS OF LOCAL CONTROL PANEL IN THE FIELD

If unable to clear or cancel a signal from their control panel the RTC may request a signal maintainer to utilize a remote local control panel to clear or cancel a signal.

The RTC will instruct the signal maintainer to fleet signals at a controlled location, to line specific signals for an individual train or engine or to cancel a signal request.

i.e. "Fleet signals eastward from signal 1233 at Able to signal 1234 at Able";

"Line westward movement on north track from signal 123N to signal 124N at Charlie"; or

"Cancel signal for westward movement on north track from signal 123N to 124N at Charlie".

This information must be repeated back to the RTC before being acted upon.

RTC must make a record in the General Purpose Book of each signal a signal maintainer has been requested to clear or cancel.

C. SUSPECTED OVER DUE TRAINS/FOREMEN

In CTC territory, when it is suspected or known that a train/engine or foreman is overdue and/or delayed in the block, the RTC must voice communicate with the employee to determine their status.

In OCS territory, if a train or foreman fails to call when instructed the RTC must voice communicate with the employee to determine their status.

If RTC is unsuccessful in contacting the train or foreman the MCO must be notified.

D. TRAINS THROUGH LIMITS OF AN OVERDUE FOREMAN

The following procedures are to be followed in the event that a foreman neglects to cancel a TOP or OCS clearance at the time expected and it becomes necessary to run trains through the limits, or when a foreman is overdue and communication with the foreman has not been established:

1. The RTC will advise the Manager RTCC of the situation;
2. The Manager RTCC will in turn notify the appropriate Engineering Officer responsible for that territory, who will arrange for the entire limits to be patrolled;
3. The RTC will issue authority (TOP or OCS clearance) to the Engineering Officer at which time the original authority to the foreman can be cancelled. When the RTC has been advised by the appropriate Engineering Officer responsible for that territory that the entire limits of the TOP or OCS clearance have been patrolled, and that the entire limits of the TOP or OCS clearance have been found to be clear and safe for the passage of a train, and the TOP or OCS clearance is no longer required, authority may be cancelled by the Engineering Officer if they consider it safe to do so;
4. If a train or engine is waiting to enter these limits the RTC may issue joint authority with the Engineering Officer who will give such train or engine authority to follow him/her through the limits as the track is being patrolled.

E. PROTECTION FOR INDIVIDUALS <u>NOT</u> QUALIFIED ON OPERATING RULES AT THE SCENE OF AN EMERGENCY SITUATION

When an individual requests protection from the RTC, e.g. CN or local police not qualified in the operating rules, the following will apply:

1. Obtain name and phone number of the individual requesting protection and apply appropriate blocking;
2. Do not remove blocking until either the same individual cancels the request or an appropriate company officer takes responsibility for the protection, in the form of a TOP, OCS clearance or other approved form.

F. DERAILMENTS IN CTC - SNOW MELTERS

In the event of a derailment at or near dual control or power operated switches equipped with snow melters, the RTC will arrange to shut off the snow melter controls to prevent them from being turned on inadvertently.

When it has been established that there are no dangerous commodities involved which are flammable or dangerous if exposed to flame or heat, the snow melters may then be turned on.

If there are any snow blowers located in the vicinity of the derailment Signals and Communications should be advised as soon as possible.

G. TRAINS STOPPED FOR DRAGGING EQUIPMENT, FLAT SPOTS OR BROKEN WHEEL

The train crew are required to make an inspection to determine if there is any evidence of damage to track components.

A track circuit down behind the train would be considered as evidence of track damage.

If evidence of track damage has been established, track must be inspected prior to any trains being operated.

The minimum inspection will be 15 miles from the last point of evidence of track damage or to the first operating Hot Box and Dragging Equipment Detector that had a clear reading behind the defective train.

795. BLOCK DOWN IN CTC

A. CALLOUTS AND DISCOVERIES

1. The RTC will call the S&C call desk and advise location and time occurred.
2. Once the S & C call desk has been advised, the appropriate S&C maintainer and in addition, when winter conditions (defined below) dictate, the appropriate Track Supervisor or delegate will also be called.

Once on site the S&C Maintainer and/or the Track Supervisor or delegate will be issued immediate authority, with priority over trains, to occupy the track to effect repairs.

B. WHEN A TEMPORARY RAIL CAP OVER A RAIL BREAK IS USED

If the rail break is determined to be passable according to the "movements over rail breaks manual", engineering will inform the RTC that the rail break will be temporarily bonded to allow signals to be cleared in the affected block. If the signal does not clear, the entire block must be inspected to ensure that there are no more breaks within that block.

In all cases rail breaks are to be identified by an approved marker and train speed over the break will be specified by engineering. This restriction should be applied as per Rule 43, whenever possible. Where signals as not in place as per Rule 43, the speed restrictions can be identified by a rail break sign(s) or a foreman located at the point of the rail break. The method used will be indicated in the GBO.

Where applicable, temporary bonds may be applied around the rail break. With temporary bonds applied and confirmation made that no other rail breaks exist in the block, and the speed restriction in place, train or engines may be then be authorized through the block by signal indication.

If the rail break is determined to be impassable according to the "movements over rail breaks manual", the RTC will be so informed and crews called to effect immediate repairs.

C. BLOCK DOWN IN WINTER CONDITIONS

The following policy will be applicable according to the winter operating plan on " Core " subdivisions commencing Nov. 15th through March 15th.

This policy applies when interruptions to CTC occur that require the application of Rule 564 and the cause of the interruption is unknown.

Under these circumstances the RTC must:

1. Contact the S&C call desk and obtain expected response time.
2. Give priority to signal maintainer and/or track forces to evaluate and correct the problem.
3. a) When the ambient temperature is **less than -35 C** suspend all train movements through the affected block until engineering has evaluated the conditions.
   b) When ambient temperature is **between -25 and -35 C**, while awaiting engineering response, RTC may allow a maximum of one train through the block pending condition evaluation by engineering.
   c) For temperatures **above -25 C** allow trains to operate but when engineering forces arrive on the scene they should be given priority.
4. When requested by the MCO, the RTC will monitor train speed through the affected blocks.
5. Be governed by instructions of on-site engineering forces as to movement of additional trains through the affected blocks.
6. Be mindful of need to provide prompt opportunity for engineering staff to return to their home location.

When notified by the RTC of a CTC interruption the engineering employee in charge of the incident must:

1. Promptly determine the cause of the interruption and advise the RTC of response time.
2. When the temperature is **below -25 C** or there is a **reduction in temperature of 25 degrees in a 24 hour period** a track maintenance employee and a signal maintainer will be required to respond.
3. Ensure prompt decision as to corrective action to be taken at the site and to allow resumption of train movements.
4. Keep RTC informed of trains operating through the affected block, with continued safe passage of trains foremost in the decision process.
5. Where applicable, the "Movement Over Rail Breaks Policy" must be followed.
6. Where temporary rail bond is installed, as per current instructions, it must be removed when no longer required.

796. REPORT OF HIGH WATER

1. **When report indicates water is up to base of rail or higher, any evidence of bank erosion or a rough spot associated with the high water:**
   - All rail traffic must be stopped and engineering forces will inspect prior to any trains being operated.

2. **When unusually high and turbulent water reported adjacent to the track:**
   - The Track Supervisor will arrange to have the track inspected as soon as possible.
   - Depending on the information received the Track Supervisor may authorize trains to be operated at 10 MPH with instructions to be on the lookout for track defects before an inspection has been completed.

3. **When high water is ponding near roadbed, or that extreme rainfall is present or forecast:**
   - The Track Supervisor will arrange, as soon as possible, to have the track inspected or kept under observation,
     - Depending on the information received or conditions present the Track Supervisor may authorize trains to be operated before a track inspection has been completed;
     - If trains are to be operated a GBO will be issued instructing trains to operate at 20 MPH with instructions to be on the lookout for track defects;
     - Limits of the GBO will depend on the details provided in the initial report and input of the Track Supervisor.

EMERGENCY PROCEDURES

797. EARTHQUAKE NOTIFICATION SYSTEM (EQNS)

Subject: Earthquake Warning System Procedures

When an earthquake with a magnitude equal to or greater that 5.0 on the Richter scale is detected by the Geological Survey of Canada (GSC) and may affect train operations on CN Rail an electronic notification will be sent directly to the Rail Traffic Control Centres within 10 to 17 minutes of the event occurring. The message will detail what action is to be taken by the RTC in regards to train operations. Due to the difference in geological topography across Canada, the seismic energy from an earthquake may travel different distances therefore it is important that the RTC does exactly what the message indicates.
The message (electronic notification) received from GSC will be sent directly to the assigned X-terminals within each RTCC, an alarm will beep for two seconds to draw the attention of the user. The X-Terminals on which the message is displayed will be locked until such time the RTC acknowledges receipt of the message, the only other function that the RTC can do at this time is to scroll up-and-down to view the entire message.

BEFORE ACKNOWLEDGING THE MESSAGE THE RTC MUST:

1) Stop all trains or issue GBO shown below within the pre-configured radius of the epicenter of the earthquake, advising them that he/she will get back to them shortly with further information.
2) Enter "WAM" or "JJJ" protection for all the affected areas indicating if it is a "Stop all trains" or issue GBO shown below.
3) RTCC will arrange for track inspection of the affected area.
4) Acknowledge the message by pointing the mouse on the "Acknowledge Alarm" bar on the message. At this time the message will disappear from the X-terminal and unlock the X-Terminal for the RTC to use.
5) In the eventuality that there are more than one incoming messages, the second message will not appear until the first message has been acknowledged, the above procedure must be followed for each message.
6) If the message indicates earthquake is within pre-configured radius of another RTCC or such overlaps another RTCC. Such RTCC must be notified immediately to confirm emergency procedures are being taken.

AFTER ACKNOWLEDGING THE MESSAGE THE RTC MUST:

1) Using the WWW Netscape WEB Browser, go to the S&C home page (The default 'home' page assigned to the RTCC) and click on the link titled: "EARTHQUAKE ELECTRONIC NOTIFICATION", then click on the top most .txt file (most recent). (If a hard copy is required, one of the MCOs on duty must print this report from their desktop PC, as the X-Terminals do not presently have print capabilities for this function.)
2) Have the tracks inspected where trains are being held first.
3) Where the message indicates that the trains can be operated, the RTC will contact the trains being held in priority order and issue the following GBO:

   "Due to earthquake activity in the area proceed at restricted speed
   between mile ____ and mile ____ _____ Sub.
   be on the lookout for obstructions, excavations, structural damages or
   any other damages on or near the right of way."
4) The RTC is to maintain the "WAM" or "JJJ" protection until such time the track has been reported safe for normal operation.

798. FIBRE OPTIC NETWORK CUT/BREAK

When a fibre optic network cut/break is identified by the Network Management Centre NMC, the appropriate RTCC, will be advised immediately to allow for trains to be stopped on the affected sub. Information as to the exact location of the break, which may be up to a twenty mile section, must be provided to the RTCC as soon as possible. S&C must determine the cause of the break and whether a hazard to safe train operation is present. This information must be communicated to RTCC as it becomes available to allow for the commencement of train operations.

The RTC on receipt of advice of a fibre optic break must immediately broadcast an emergency message on the standby channel for train and engine movements in the identified area as follows:

"Emergency, Emergency, Emergency,

Fibre cable break on the _____ Subdivision;

All trains must stop and await further instruction".

(Message to be repeated after a twenty second pause).

Immediate arrangements must also be made within the RTCC for the signal system to be placed in "fallback" mode and all requested signals cancelled as soon as possible. The RTC must wait advise from S&C as to the exact location and cause of fibre break before allowing trains to proceed. If a threat to safe train operations is identified, the location must be protected against all train movements. Trains advised by the emergency broadcast, or by other means, must immediately come to a stop, and be advised to initiate a double rebroadcast of the RTC message on the appropriate standby channel and await further instruction from the RTC before proceeding. This advice may be in the form of a broadcast or train specific radio transmission. Train crews are reminded to be vigilant and report any abnormal track condition, unusual build-up of water, or bank/grade erosion they may observe.

799. SELF RESTORING DERAILS EQUIPPED WITH TALKERS

In the event, that the message is not received, the crew will contact the RTC immediately to inform that the derail has not reported as returning to derailing position. When such condition has been reported the RTC must take immediate action to prevent movements from entering the limits of the malfunctioning derail and arrange to have a responsible employee, such as another train crew, TMC, yardmaster or the crew of departing train to protect/restore the derail.

Note 1: RTC must apply blocking to prevent movements from entering the limits of the malfunctioning derail and may be required to hold all traffic until notified derail has been restored to derailing position.

Note 2: The RTC must also protect any self restoring derail which indicates in the RTCC that it did not return to derailing position.

CN RAIL

Efficiency Testing Instructions For RTCCs

Revised June, 2002

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Efficiency Test Instructions

The purpose of on-line efficiency tests and inspections is to determine compliance with operating rules and instructions by Operating Employees and other covered-service employees.

Efficiency tests require preparation/planning and should include unannounced and/or the unknown presence of the testing officer.

The following guidelines must be considered;

1) The principle of efficiency testing is to prearrange conditions and/or inspections that will allow the supervisor to test compliance and process application of operating rules and instructions by employees.

2) Supervisors must be thoroughly familiar with the operating rules, territory, special instructions and local territory manual instructions.

3) The location chosen to make a test should be free of extreme grade and in an area where undue delay to train and highway traffic is avoided.

4) Arrange in advance to have the necessary equipment and knowledge of the territory and applicable rules/instructions.

5) Once the testing officer's presence becomes known the test results will be biased but a flagrant violation or unsafe operating condition must immediately be called to the attention of the crew.

6) Vary the location, shift, day-of-month and test selection utilized.

7) The RTC Office should be consulted if testing is to delay trains, and consideration should be given to Hours of Service Regulations.

8) Observation of headlights, markers, radio procedure, engine bell and engine whistle should be noted as 'OBSERVATIONS' during each test but in themselves do not meet the criteria of an efficiency test.

9) While the emphasis is on operating rules, primary Safety Rules i.e. proper footwear/clothing, safety eyewear, will be recorded as 'OBSERVATIONS' but also do not by themselves constitute an efficiency test.

Evaluating Compliance or Non-Compliance

1) When evaluating and reporting the result of an Efficiency Test only the specific rules and GOI associated and identified for the particular test are to be evaluated in determining compliance or non-compliance.

2) Any failure to fully comply with the rules/instructions listed as applicable to the particular Efficiency Test will constitute a "Non-Compliance" rating for that particular Efficiency Test.

3) Other rules/instructions identified or evaluated as part of the specific Efficiency Test or at other times when not specifically performing these Tests, is to be entered as an "Observation" with applicable evaluation Re: Compliance/Non-Compliance for each individual rule/instruction.

Handling Employee Non-Compliance

Non-compliance observed during an efficiency test must involve an appropriate response by the conducting officer, and will be categorized as outlined below;

FLAGRANT VIOLATION: If the violation is of a serious enough nature that the conducting officer feels it is necessary to stop the train or assignment, all members of the crew/gang should be addressed and permitted to proceed only after they fully understand the proper application of the operating rule or special instruction. The need to remove a crew/employee from active duty may also be necessary and a formal investigation will subsequently be conducted.

VIOLATION: If the violation is of a nature that a formal investigation is warranted, the officer conducting the efficiency test should verbally correct the crew/gang at the time of violation and carefully record all pertinent information as may be necessary as evidence in any follow-up investigation.

MINOR INFRACTION: If the violation is a minor infraction not warranting formal investigation, then the crew/gang should be allowed to continue. A follow-up discussion involving the testing officer and involved employees must be conducted after the testing period or on completion of the shift/trip to ensure there is no misunderstanding as to the correct application of the rule/instruction.

Test No. 16

RTC Radio Procedures: Utilizing voice tapes or personal observation, ensure that the RTC is utilizing proper radio procedures: i.e. Positive Identification; Use of "CN"; Numbers repeated digit-by-digit or spelled (written authority); Use of "Over/Out".

Rule Reference

CROR 120:	Radio Terms
CROR 121:	Positive Identification
CROR 121(a):	Use of "CN"

Test No. 17

RTC Emergency Radio Test: Utilizing voice tapes, verify that the RTC has made the required Emergency Radio Test at least once during the shift.

Rule Reference

AP Manual Item 702	Emergency Radio Test

Test No. 18

RTC Restoring Switches to Normal: Identify from the record, a switch for which permission to leave in the reverse position had been granted and is now restored to normal. Verify from train report records or voice tape that the train or employee was assuredly at the location of the switch when the report of restoring it to normal was received. Ensure that information from the field was voice-verified, back to the sender, from the RTC.

Rule Reference

CROR 104(b) NOTE(iii):	RTC Notification

Test No. 19

RTC Verification of Authority Content: Observe that the RTC when verifying the repeat of an authority is concentrating on the task at hand. Ensure that the screen is being observed, and that the rate of verification (tabbing) is consistent with the content being communicated from the field.

Rule Reference
CROR 136(b): Copying, Repeating and Completing

Test No. 20

RTC Issuing TOP Authority: Uttilizing voice tapes or through personal observation, ensure that the RTC has taken measures to ensure no other trains or engines are within or authorized to enter the limits; that blocking has been provided; and that the notice to the Foreman concerning conflicting TOP/OCS limits is the **first** box completed and that this information is **initiated by the RTC**.

Rule Reference
RAP Manual Item 779: Before Issuing TOP Authority
CROR 817: Conflicting TOP/OCS Clearance Procedures

NOTE: Test 16 (Radio Procedures) may be conducted as each of the other RTC Efficiency Tests are being performed.

Efficiency Test/Observations - CN Rail Traffic Control

Date: _____ Time: _____ Testing Officer: _____
RTC Name: _____ Desk/Territory: _____

Test No. 16	Radio Procedures	_____
Test No. 17	Emergency Radio Test	_____
Test No. 18	Restoring Switches to Normal	_____
Test No. 19	Verification of Authority Content	_____
Test No. 20	Issuing TOP Authority	_____

Compliance (_____) **Non-Compliance (_____)**

Observation of other Applicable Rules/Instructions

Rule Reference	Subject	Compliance	Non-Comp.
Gen. Rule "A"	Op. Manual/Certificates	_____	_____
Gen. Rule "G"	Intoxication	_____	_____
CROR 49.2	Before Issuing TOP Authority	_____	_____
CROR 104(b) Note (iii)	RTC Notification	_____	_____
CROR 120	Radio Terms	_____	_____
CROR 121	Positive Identification	_____	_____
CROR 121(a)	Use of "CN"	_____	_____
CROR 134 C	Brevity, Clarity and Pronunciation	_____	_____
CROR 136(b)	Copying, Repeating and Completing	_____	_____
CROR 817	Conflicting TOP Procedures	_____	_____
CROR_____		_____	_____
CROR_____		_____	_____
CROR_____		_____	_____
RAP Item 702	Emergency Radio Test	_____	_____
RAP Item 779	Before Issuing TOP Authority	_____	_____
GOI Item_____		_____	_____
GOI Item_____		_____	_____

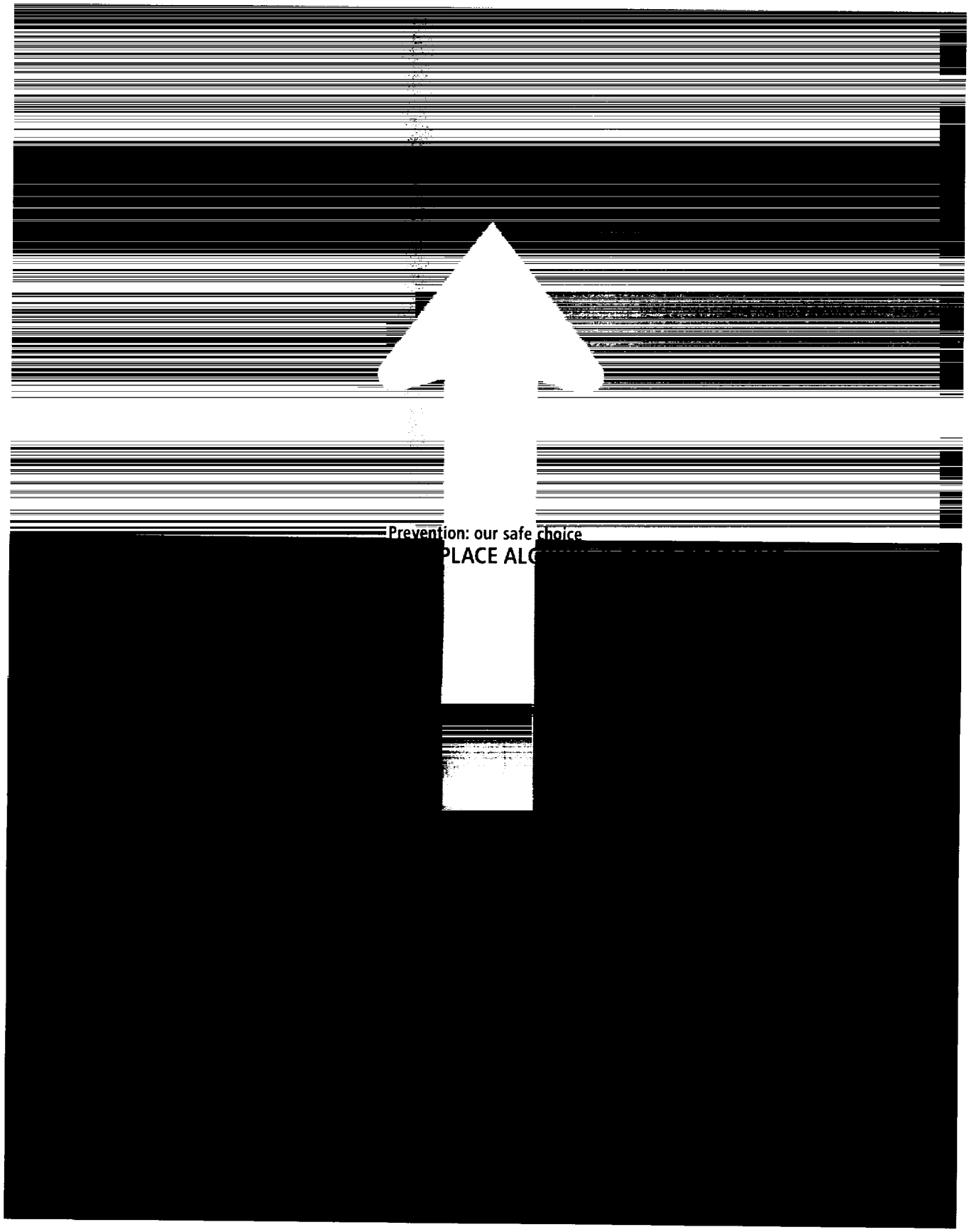
Comments: _____
_____
_____

Prevention our safe choice

Policy to Prevent workplace Alcohol and Drug Problems

POLICY AND GUIDELINES

CN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Dear colleagues,

As part of CN's unwavering commitment to safety, all employees must do their utmost to safeguard themselves, their coworkers, their customers and their communities at all times. To perform at their best, employees must be assured of working in a healthy and safe environment, and they must have complete confidence in their colleagues' ability to perform.

A fundamental element in helping employees protect their health and safety is our Policy to Prevent Workplace Alcohol and Drug Problems, which was introduced in 1997 and has been updated to reflect some changes. This initiative is a key strategy in our objective of being the safest railway in North America.

The policy to prevent workplace alcohol and drug problems covers all employees of CN and its subsidiaries in Canada, as well as contractors and tenants. It sets a higher standard for those employees who work in safety-sensitive and specified management positions.

This booklet also contains guidelines to help you understand exactly how the policy is applied. It is your responsibility to read the policy and guidelines to become fully familiar with them, as well as their application and consequences for you in your job.

Please remember that our policy stresses prevention, as well as assistance, for employees who may be having problems. These services, largely coordinated through CN's award-winning Employee and Family Assistance Program, are free of charge and strictly confidential. In fact, the EFAP is there to help employees and their families cope with a broad range of personal problems, including divorce and marital issues, stress and anxiety, childcare, helping elderly parents, financial and legal problems, and bereavement.

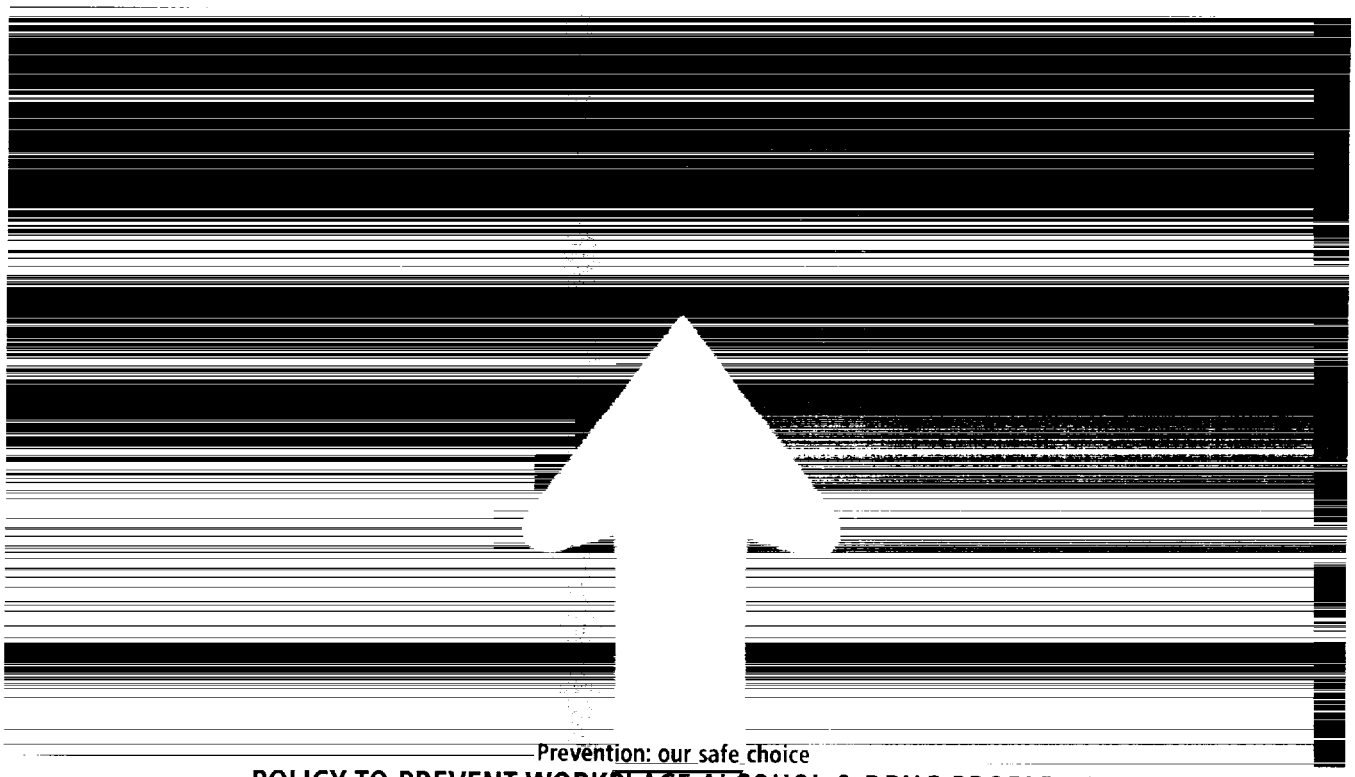
To use the EFAP in Canada, call: 1-800-268-5211 (English) or 1-800-363-3872 (French).

As CN employees, each one of us has the right to expect that the workplace is free from all effects of alcohol and drugs. Each one of us has a responsibility to report for duty and, while on duty, to remain free of any effects of these substances.

Should you have any questions, please don't hesitate to talk to your supervisor, or your local Human Resources contact.

Thank you for your full cooperation and support in this very essential initiative.

E. Hunter Harrison
President and Chief Executive Officer



Prevention: our safe choice

POLICY TO PREVENT WORKPLACE ALCOHOL & DRUG PROBLEMS

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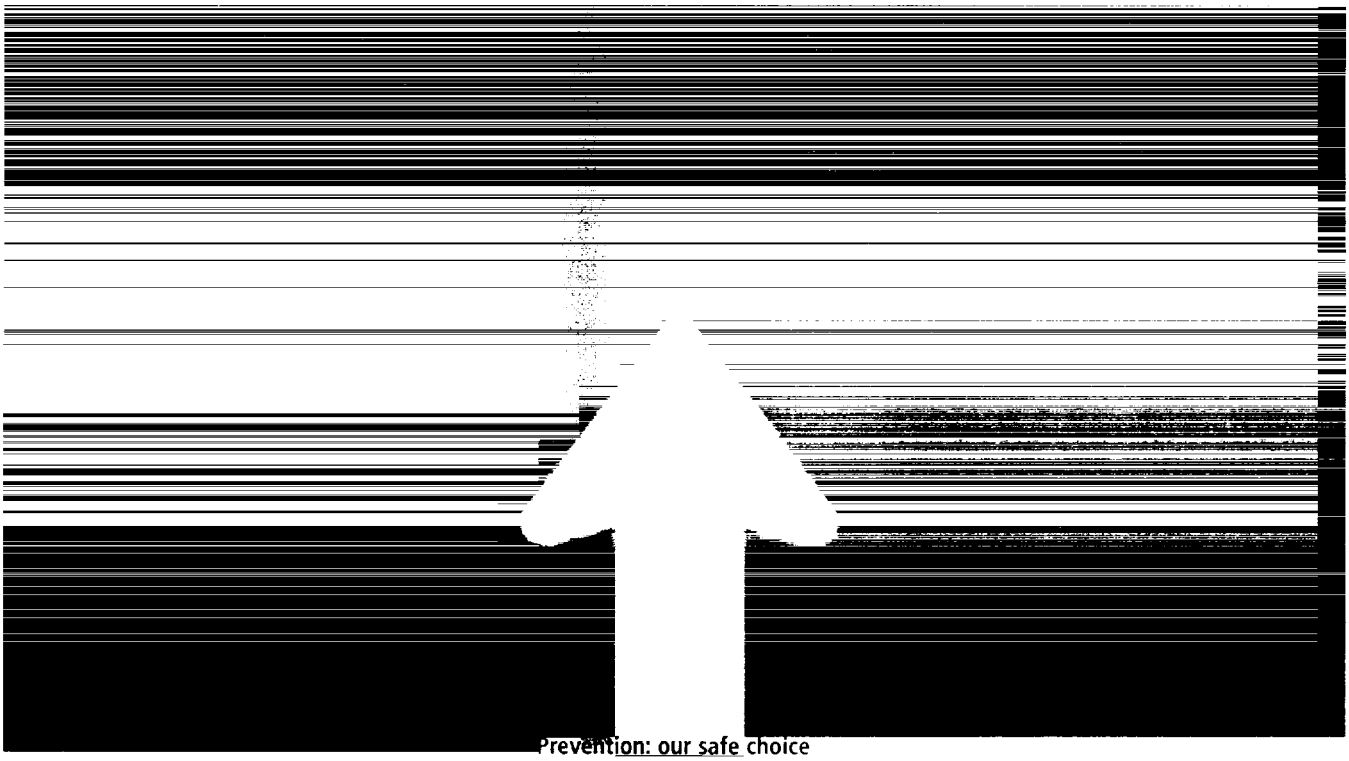


Prevention: our safe choice

POLICY TO PREVENT WORKPLACE ALCOHOL & DRUG PROBLEMS

INTRODUCTION

The purpose of this guide is to help you understand the policy and your responsibilities under it.

It is divided into three main parts:

1. The Policy

2. The Guidelines
   - clarify and expand on all aspects of the policy

3. Questions and Answers
   - frequently asked questions about the policy

In 1997, CN implemented the Policy to Prevent Workplace Alcohol and Drug Problems.
This update includes changes made since then.

What's New With This Policy?

- Definitions of Safety Sensitive and Specified Safety Management
- Discipline Assessment – All policy violations are to be investigated and discipline assessed according to investigation results, up to possible dismissal. (No automatic dismissal for policy violation for some employees)
- The Positive Breath Alcohol levels for all employees is now .04 or greater.

This policy

- applies to all Canadian-based CN employees, as well as contractors, subsidiaries, tenants, and guests;
- provides clear supporting guidelines to help everyone implement the policy;
- establishes and clearly describes serious consequences of policy violations;
- clearly identifies safety-sensitive and specified management positions;
- includes drug testing (not random);
- clearly defines roles and responsibilities that make everyone accountable; and
- requires employees who must have a valid driver's license to report impaired driving charges or convictions.

More Information

Contact your Human Resources representative if you have questions about any aspect of the policy.
If you require additional copies of this policy or the EFAP brochure, contact the Disbursement Management Centre.

1. Introduction

CN is committed to the health and safety of its employees, the public and the environment in its pursuit to become the safest railway in North America. As part of this commitment, CN, its employees and unions, have a responsibility to maintain a safe workplace, free from the negative effects of alcohol and other drugs.

Management, unions and employees should be fully aware of the impact that alcohol and other drug use can have on the health, safety, performance and conduct of employees on the job, as well as the hardships that substance abuse can impose on the employer, employee, co-workers and family. To address these concerns, CN is re-issuing this policy, which is a component of its overall safety program to minimize risk in all operations.

2. Policy

2.1 Scope

This policy applies to all employees of CN and its subsidiaries who are based in Canada. Those employees in [1]safety-sensitive and [2]specified management positions will be held to a higher standard and will be subject to more serious consequences because of the direct impact that these positions have on safety, or the financial health and reputation of the company.

In addition, Canadian-based employees crossing into the United States are subject to the rules and regulations governing cross-border operations. U.S.-based employees of CN's subsidiaries are subject to the rules and regulations of that jurisdiction. As the company concern for safety also extends to the operations of contractors and tenants, they will be expected to adhere to these standards, in whole or in part, as a condition of the contract or lease.

2.2 Policy Statement

All employees are required to report and remain fit for duty, free of the negative effects of alcohol and other drugs. It is prohibited to be on duty or to be in control of a CN vehicle or equipment while under the influence of alcohol or other drugs, including the after-effects of such use. Specifically, the use, possession, presence in the body, distribution or sale of illegal drugs while on duty (including during breaks), on or off company premises, on company business, or on company premises, in vehicles and equipment, is prohibited. Possession, distribution or sale of beverage alcohol, and the consumption of any form of alcohol, is prohibited while on duty (including during breaks) on company premises, including vehicles and equipment, off company premises, or on company business.

Employees are expected to use over-the-counter or prescription medications responsibly. Any employee in a safety-sensitive or specified management position, or any employee who is in the control of a CN vehicle or equipment, is responsible for investigating whether the [3]medication will affect safe operations, reporting any concerns to CN's designated medical provider, and abiding by their recommendations to ensure safety.

[1] Safety-sensitive position definition on page 16

[2] Specified Management Position defined on page 18

[3] Medication Guidelines on page 44

2.3 Prevention and Assistance

Personal problems affecting an employee's performance, health or safety can often be overcome with proper education, counselling or treatment. CN is committed to helping any employee who may have a problem related to alcohol or any other drug. However, the employee must be willing to address the problem before it has any impact on performance; otherwise, it is a violation of this policy. Seeking assistance is the preferred method of dealing with these problems. In these cases, the employee's employment or advancement opportunities will not be affected, provided approved rehabilitation is undertaken and results in satisfactory control of the problem.

Employees should encourage co-workers who may have a current or emerging alcohol or any other drug-related problem to contact the Employee and Family Assistance Program (EFAP), where assistance will be provided in line with the company's EFAP policy. Using the services provided by the EFAP does not eliminate the requirement to meet performance expectations. In addition to the educational program outlined in the EFAP policy, CN will provide educational and awareness programs for employees concerning this policy and its application.

2.4 Available Means to Assess and Monitor Policy Compliance

2.4.1 Supervisory Management of Performance:
Supervisors will be trained as to their responsibilities in administering this policy.

2.4.2 Medical Assessment:
As a component of medical assessments.

2.4.3 Testing:
Alcohol and/or drug testing will be conducted as follows:
All employees are subject to testing under the following circumstances:

Follow-up

As a requirement for continuing employment – as part of a relapse prevention program after treatment for an alcohol or drug problem, including where the [4]Rule G By-Pass Agreement is applicable.

Reinstatement

As a requirement for continuing employment – as part of a monitoring program after a policy violation.

Reasonable Cause

Where reasonable cause exists to suspect alcohol or drug use or possession in violation of this policy, including after an accident or incident.

[4] Rule G By-pass on page 13 [5] Safety-sensitive definition on page 16 [6] Specified Management Position definition on page 18

Safety-sensitive/Specified Management Positions

In addition to the above, all individuals seeking assignment to a [5]safety-sensitive or [6]specified management position must pass a drug test as a final condition of offer. (Note: This requirement does not apply to individuals already in a safety-sensitive or specified management position.) In any case where an individual is to transfer into one of these positions, pre-assignment testing will not be required, provided this person has received a negative test result within the preceding twelve-month period.

2.4.4 Searches

CN reserves the right to conduct unannounced searches for alcohol or drugs where there are reasonable grounds to believe they are present on premises, vehicles and equipment owned, leased, or otherwise controlled by CN.

2.4.5 Impaired Driving Charge or Conviction

Any employee who requires a valid driver's license or operates railway equipment in the per formance of their duties and where driving privileges are lost or suspended due to an impaired driving charge or conviction while not on duty, nor in a CN vehicle, nor on CN premises, must immediately report such loss to their supervisor, irrespective of any legal challenges or related issues.

[7] Hosting Practices on page 36

2.5 Other Issues

To demonstrate CN's commitment to a safe, healthy workplace free of the negative effects of alcohol or other drug use, CN will support and provide guidance for responsible 'hosting practices, including designated driver programs.

This policy supplements but does not modify the Canadian Rail Operating Rules (C.R.O.R.) Rule G and the Union/Management Agreement on The Control of Drug and/or Alcohol Abuse.

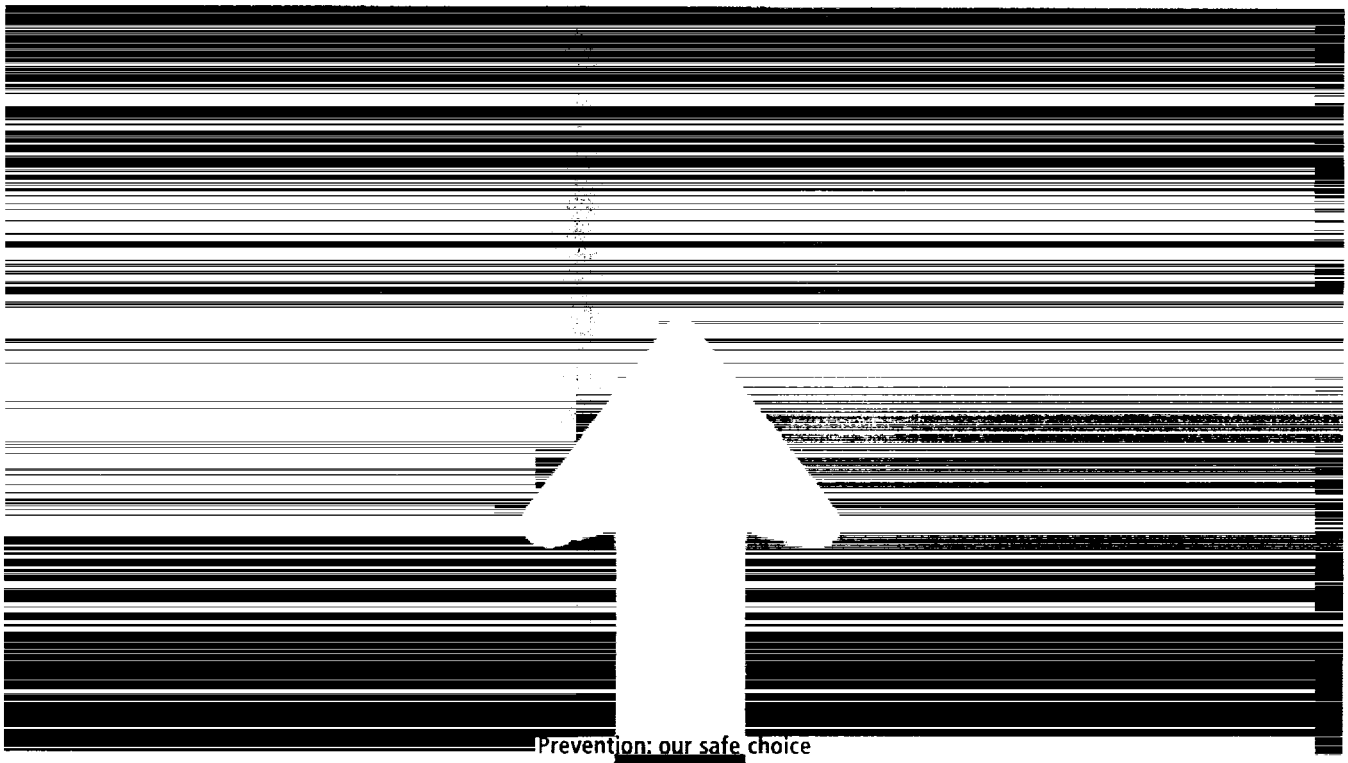
3. Violations
   Violation by an employee will result in corrective action up to and including dismissal. Violation by contractors or tenants will be considered a breach of their contract or lease. Refusal to complete the testing process set out under this policy is considered a policy violation.

4. Authority
   The Vice-President Risk Management, in consultation with other Vice-Presidents and Function Heads, is responsible for the development, communications and implementation of the information, education, testing and follow-up required under this policy.

5. Supporting Guidelines
   Detailed Guidelines supporting this policy describe implementation, testing procedures, consequences of policy violation, reinstatement requirements, procedures for EFAP referral, designated [8]safety-sensitive and [9]specified management positions, and other associated issues.

[8] Safety-sensitive definition on page 16

[9] Specified Management Position definition on page 18



Prevention: our safe choice

POLICY TO PREVENT WORKPLACE ALCOHOL & DRUG PROBLEMS

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GUIDELINES

The following guidelines have been developed to help you clarify and apply CN Policy to Prevent Workplace Alcohol and Drug Problems in support of a safe worksite at CN.

In the event that a situation arises that has not been covered in the guidelines, please contact your Supervisor, Human Resources or Risk Management representative.

POLICY STANDARDS

To minimize the risk of unsafe and unsatisfactory performance due to the use of alcohol or other drugs, all employees are required to report and remain fit for duty, and adhere to the following standards:

Illegal Drugs

The use, possession, presence in the body, distribution or sale of illegal drugs is prohibited while on duty (including during breaks), on company business, or on company premisesincluding vehicles and equipment.

Alcohol

Possession, distribution or sale of beverage alcohol, and the use of any form of alcohol, is prohibited while on duty (including during breaks on or off CN property), on company business, or on company premises, in company vehicles and equipment. Limited exceptions to this restriction will be allowed with prior approval of a Vice-President. The policy does not limit retail outlets and licensed business establishments from carrying out their normal operations.

Presence in the body of alcohol above the established cut-off level (0.04 BAC), when on duty or on company business or premises, or in control of a company vehicle or equipment, is also prohibited for all employees. In any situation where an employee is to be tested with reasonable cause, including after an accident or incident, they are prohibited from using alcohol within eight hours of the accident or incident, or until tested or advised a test will not be necessary.

Medications

All employees are required to use both prescribed and over-the-counter medications responsibly. The possession of prescribed medications without a legally obtained prescription, and the distribution, offering or sale of prescription medications is prohibited. The intentional misuse of medications (e.g. using the medication not as it has been prescribed, using someone else's prescription medication, combining medication and/or alcohol use against direction) is prohibited while on duty (including during breaks), on company business, or on company premises, including vehicles and equipment. Medications of concern are those that inhibit or may inhibit an employee's ability to perform his or her job safely and productively. ([10] See Appendix C – Medication Guidelines).

All employees are expected to manage potential impairment during working hours due to the legitimate use of medications by contacting their personal physician, pharmacist or designated medical provider, prior to consuming. This is to determine if the medication or combination of medications can have a negative impact on performance, and to take appropriate steps to manage any associated risk.

All employees holding a [11]safety-sensitive position, and all employees in the control of a CN vehicle or equipment, are expected to investigate whether the medication will affect safe operations and report any concerns to CN's Medical Services at 1-888-807-6777. Medical Services personnel will then assess the situation to determine whether the employee can safely perform regular duties. Where it is determined

[10] Medication Guidelines on page 44

[11] Safety-sensitive definition on page 16

that use of the medication will affect the individual's ability to operate safely, employees are required to adhere to any recommendations, which may require modification to work if needed and available, in order to eliminate safety risks.

Employees On-Call

It is the employee's responsibility to remain fit for duty when on call. For the purposes of this policy, unionized employees receiving compensation for being on call are considered on duty.

If an employee is not required to be on call and unexpected circumstances arise (e.g. an emergency situation) when he/she is requested to perform unscheduled services and they are under the influence of alcohol, drugs, or medications, it is the responsibility of that employee to refuse the request and ask that the call to work be delegated to another employee. The inability of an employee in this situation to accept an unscheduled or emergency work assignment for this reason, will not result in corrective action.

Implications for C.R.O.R. Rule G and Rule G By-Pass Agreement

Nothing in this policy reduces the requirements of C.R.O.R. Rule G, including the subject to duty provisions. Similarly, this policy does not alter the Union/Management Agreement on the Control of Drug and/or Alcohol Abuse in any way (The "Rule G By-Pass Agreement").

DEFINITIONS

For the purposes of this policy, the following definitions will apply.

C.M.O.
means Chief Medical Officer.

Company
Canadian National and CN each refer to Canadian National Railway Company and its wholly-owned subsidiaries.

Company Business
refers to all business activities in pursuit of the corporate objectives undertaken by employees or contractors in the course of the company's operations, whether conducted on or off company premises. It includes all situations when an employee is representing the company, or when a contractor or contractor's employees are providing services to the company.

Company Premises
includes but is not restricted to, all land, property, structures, installations, facilities, vehicles and equipment owned, leased, operated or otherwise controlled by the company.

Contractor
refers to any company or individual providing contracted services to CN or on behalf of CN and not on the company payroll.

Drug
is any substance (alcohol, illegal drugs, over-the-counter or prescribed medications), the use of which has the potential to change or adversely affect the way a person thinks, feels or acts. For the purposes of this policy, drugs of concern are those that inhibit or may inhibit an employee's ability to perform a job safely and meet performance expectations.

An illegal drug is any drug or substance which is not legally obtained and of which the use, sale, possession, purchase or transfer is restricted or prohibited by law (e.g. street drugs such as marijuana and cocaine).

Alcohol means the intoxicating agent in beverage alcohol, ethyl alcohol, or other low molecular weight alcohols, including methyl and isopropyl alcohol.

Beverage alcohol refers to wine, beer, distilled spirits and similar products.

Employee
means the company's regular, part-time, and seasonal employees on the CN payroll, and also includes students and temporary employees.

Fitness for Work/Duty
means being able to safely perform assigned duties at a level which meets performance expectations without any limitations due to the use or after-effects of alcohol, illegal drugs or medications.

M.R.O.
means Medical Review Officer.

On Duty

For employees covered by the Rule G By-Pass Agreement, the definition of 'on duty' will be as per that agreement. Other employees will be considered on duty when they have reported for duty and are being compensated. Any employee being compensated for being on call will be considered to be on duty.

Post Accident

Employees directly involved in train accidents meeting specific criteria should be tested for drugs and alcohol within 4 hours of the accident.

The triggering accident must meet at least one of the following criteria:

- a major train accident, which results in any of the following: a fatality, a release of hazardous materials with an evacuation or reportable injury, substantial damage to railroad property
- a fatal train accident involving a fatality to an on-duty railroad employee

Note: Rail/highway crossing accidents and accidents entirely attributable to natural causes, vandalism or trespassing do not trigger post-accident testing for employees.

For post accident testing during regular hours, call CN Medical Services at 1-888-807-6777, and for off hours, call the CN Police Call Centre at 1-800-465-9239 to arrange for drug testing. CN Police should be called for alcohol testing. Both alcohol and drug testing should be done after the accident.

Safety-sensitive Positions

Safety-sensitive positions are those which the company determines have a key and direct role in an operation where impaired performance could result in a significant incident affecting the health and safety of employees, customers, customer's employees, the public, property or the environment. This includes all employees who are required to rotate in safety-sensitive positions or regularly relieve employees in these positions. This also includes supervisors and managers who may have to perform the same duties.

Specified Management Positions

are those which the company determines have significant ongoing responsibilities for decisions or actions likely to affect the safe operations, finances or reputation of the company, but do not have the same direct impact on immediate physical loss as the safety-sensitive positions.

Supervisor

means the individual in authority over a particular area or shift, including team leaders, managers and others in positions of authority.

Tenant

refers to any company or person, including their employees and subcontractors, doing business or working on CN property under a lease, license, or contract agreement.

Safety-sensitive Positions

Safety-sensitive positions are those which the company determines have a key and direct role in an operation where impaired performance could result in a significant incident affecting the health and safety of employees, customers, customer's employees, the public, property or the environment. This includes all employees who are required to rotate in safety-sensitive positions or regularly relieve employees in these positions. This also includes supervisors and managers who may have to perform the same duties.

Key and Direct Role:

The primary job function of the position, including non-routine or emergency duties, involves responsibility for actions or decisions which could directly cause or contribute to:

- a potentially [13]significant incident; or
- an improper/inadequate response to a potentially significant incident if not performed properly.

The following and comparable occupations are deemed to be safety-sensitive positions under this policy.

Transportation Department

- Asst, conductor – trainee
- Brakeman, Engine Service
- Brakeman, Road Freight
- Brakeman, Road Passenger
- Conductor, Road Freight
- Conductor Road Passenger
- Controller, Rail Traffic
- Dispatcher Train Engineer, Road Passenger
- Engineer, Road Freight
- Engineer, Yard
- Foreman, Yard
- Helper, Yard
- Manager Asst, Rail Traffic Control Manager, RTC
- Manager, Corridor Operations
- Officer, Engine Service
- Student Controller, Rail Traffic
- Superintendent, Assistant
- Superintendent, Transportation
- Superintendent, Line
- Superintendent, Terminal
- Trainee, Operations

This list also includes any management employee required to operate on-track equipment.

Mechanical Department

This list includes any employee required to operate on-track or heavy lift equipment over 60 tons.

[13] Significant Incident:
This refers to incidents involving one or more of the following:

- a fatality or fatalities;
- life-threatening injury or injuries; and/or
- significant customer, company or other property damage; and/or
- significant environmental damage.

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Engineering Department

- All employees covered by the following Collective Agreements between the company and:

Brotherhood of Maintenance of Way Employees covering:

- Work Equipment Department (Agreement 10.3)
- Track and Welding Department (Agreement 10.8)
- Bridge and Structures Department (Agreement 10.9)

International Brotherhood of Electrical Workers (Agreement 11.1)
(Except employees of the Electronic Repair Centre in Winnipeg)

- This list includes any management employees required to operate on-track equipment or heavy lifting equipment over 60 tons.

Intermodal Department

- Heavy Equipment Operators

This includes any management employee required to operate on-track or heavy lifting equipment over 60 tons.

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SPECIFIED MANAGEMENT POSITIONS

Specified Management Positions are those which the company determines have significant ongoing responsibilities for decisions or actions likely to affect the safe operations, finances or reputation of the company, but do not have the same direct impact on immediate physical loss as the safety-sensitive positions.

President & Chief Executive Officer
VP Executive & Chief Operating Officer
VP Executive and Chief Financial Officer
Executive VP Sales & Marketing
VP Sr. Corporate Services
VP Sr. Eastern Canada Division
VP Sr. Pacific Division
VP Sr. Prairie Division
VP Sr. Chief Legal Officer & Corp Sec
VP Sr. Operations
VP Sr. Public Affairs & Advertising
VP & Treasurer
IC-VP Operations Integration
IC-VP Gulf Division
IC-VP Mid-West Division
VP & Chief Information Officer
VP Investor Relations
VP Labour Relations
VP Chemicals & Petroleum
VP Forest Products
VP Wisconsin Central
Chief of CN Police

ROLES AND RESPONSIBILITIES

Every employee and contractor has a responsibility to ensure that CN remains a safe and healthy workplace free of the effects of alcohol and drugs. The following groups have specific roles in implementing this policy.

The Employee

Every employee has the right to expect a safe and healthy workplace. In turn, every employee is required to report and remain fit for duty free of the negative effects of alcohol and drug use, and to comply with the standards set out under this policy. Employees are required to:

a. read and understand the policy and their responsibilities;

b. cooperate with any work modification recommended by a health care professional;

c. manage potential impairment during working hours due to the legitimate use of medications by contacting their personal physician or pharmacist to determine if these medications can have a negative impact on performance; those in [14]safety-sensitive and [15]specified management positions must investi gate and report any concerns to CN's Medical Services, who will assess the situation and advise the company if there is a need to modify or temporarily reassign the work;

d. seek advice and follow appropriate treatment promptly if they suspect they have a substance depend ency or emerging problem;

e. follow any recommended monitoring or aftercare program after primary treatment for alcohol or other drug problems as required under this policy;

f. report any loss of driving privileges to their supervisor if driving is required in the performance of their duties within 24 hours, and in addition, report any charges for an impaired driving offense which occurs at any time in a company vehicle;

g. not transfer any work responsibilities, including control of a company facility (or part thereof), piece of machinery, motor vehicle or railway equipment, or supervision of a worksite, to a co-worker whom the employee reasonably suspects may be unsafe due to the negative effects of drugs or alcohol, and promptly report their concerns to their supervisor;

h. abide by any additional fitness for duty policy provisions, including those governing alcohol and drug use in other operating jurisdictions; and

i. cooperate with any investigation into a policy violation, including the testing program.

In addition to the above, employees at work are encouraged to look out for other employees, contractors, or visitors in terms of safety and must take appropriate action to ensure that they do not remain in an unsafe condition on CN property, by ensuring an appropriate person is advised accordingly.

Any employee who has knowledge or suspicion of any breach of this policy is required to take the appropriate action to address the situation. Failure to do so may result in corrective action up to dismissal.

[14] Safety-sensitive definition on page 16

[15] Specified Management Position defined on page 18

The Supervisor & Manager of People at All Levels

Supervisors are entitled to receive comprehensive training in applying this policy and:

a. will monitor and measure the performance of those that report to them against established performance standards;
b. will be responsible for the early identification and handling of all performance problems, including those which may be caused by alcohol or other drug use; if an individual's work performance has deteriorated to an unacceptable level, or their actions or condition can jeopardize their safety or that of others, then supervisors are ultimately responsible for taking appropriate action;
c. will confront employees about performance problems and assess their ability to perform the job. Where they have objective grounds to believe performance problems may be health-related, they may encour age the employee to contact the Employee and Family Assistance Program (EFAP) for confidential assistance, or Medical Services for a medical assessment. If an employee refuses the referral, the per formance management process will continue and health reasons cannot be cited by the employee as a contributing cause to the problem;
d. will refer an employee for an alcohol and drug test in a situation where there is reasonable cause, as and when required to do so under this policy; (the decision to refer will normally be made in conjunction with a second person, usually a more senior manager, another supervisor, CN police, etc.);
e. will monitor contractors and their employees to ensure compliance with this policy and take action as specified in the policy
f. will identify situations where an unannounced search for alcohol or drugs on company premises is justified, and will be responsible for contacting CN Police before initiating any such action; and
g. will play a key role in the communication, implementation and monitoring of this policy.

Any supervisor who has knowledge or suspicion of any breach of this policy is required to take the appropriate action to address the situation. Failure to do so may result in corrective action up to dismissal. Human Resources Managers are regularly involved in this process.

Medical Services

Medical Services staff is charged with determining fitness for duty by consulting with the company's Chief Medical Officer. In situations where an employee is unsafe for regular duty, or requires a leave of absence for medical reasons, Medical Services will advise the supervisor:

- of the need for a leave or modified work,
- when the employee is likely to be returning to work, and
- will confirm when the employee is fit to return to full duty.

In addition to the above, Medical Services:

a. is involved in the development of rehabilitation programs, and for the fitness assessments required under the program. Medical services may monitor compliance with a Continuing Employment Contract.
b. is responsible for contacting an employee's supervisor on a regular basis to receive reports of performance, attendance, etc., if the employee is under a Continuing Employment Contract;
c. will respond to any contact from employees taking medications who have been advised by their physician or pharmacist that there may be safety implications; Medical Services will assess the situation, and advise the company if there is a need to modify or temporarily reassign the work; and
d. will manage the alcohol and drug testing program by handling sample collection and lab analysis components as described in this policy; Medical Services is the primary point of contact to arrange for sample collection during regular working hours. In the case of a potential Criminal Code offence or off regular working hours, CN police should be contacted first.

EFAP Provider

FGI is the professional counselling resource contracted by CN. The firm's counsellors are located from coast to coast and are available by telephone, 24 hours a day, seven days a week. For English, call 1-800-268-5211; For French, call 1-800-363-3872. While the counsellors are not directly involved with the policy, they are available to assist employees and their families who may be experiencing alcohol or drug problems.

Employees and their immediate families may contact FGI at any time for free, confidential assistance with personal problems, such as family concerns, work concerns, substance abuse, financial issues, eldercare, etc. Medical Services may also refer employees to FGI to provide further assistance or to manage a rehabilitation program when appropriate.

FGI staff at the 1-800-268-5211 number are also available to coach supervisors and co-workers in how to deal with the personal problems of co-workers and employees.

CN Chief Medical Officer (through Medical Services)

Medical Services sets medical standards for positions and monitors to ensure these are met.

The EFAP Manager

The Employee and Family Assistance Program Manager is responsible for ensuring employees and their families are aware of and have access to problem assessment, counselling, financial support for alcohol and drug treatment, as well as encouragement in rehabilitation. Support for training and awareness for employees and supervisors on the management of alcohol and drug problems is a major responsibility in supporting this policy. Liaison with and support to EFAP peer groups is another important role of the EFAP Manager.

The EFAP Peer Groups

The EFAP Peer Groups are made up of concerned CN employees at locations throughout the company. Peers are expected to be familiar with this policy and to:

- support and motivate individuals seeking help for personal problems;
- act as advocates and promoters of the EFAP locally;
- act as a resource to employees, union leaders and supervisors, providing information on the EFAP process; and
- support co-workers in reintegrating into the workplace and remaining healthy.

In addition, the Peer Groups raise local concerns with the EFAP Manager, which are addressed at that level or with the Senior Advisory Committee on the control of alcohol and drugs.

CN Police

When a supervisor has reasonable grounds to believe that an employee in the care and control of a CN vehicle or equipment may be under the influence of alcohol or drugs, he/she must request that CN Police take appropriate action at the scene. The number to call is: 1-800-465-9239.

Where such an employee is in the care or control of a motor vehicle or railway equipment, and CN Police are not able to respond within a reasonable time, CN Police will be responsible for contacting the local law enforcement agency.

CN Police will also be involved in any situation where a supervisor believes there are grounds to conduct a search for the presence of alcohol or drugs in violation of this policy or the law (refer to [16]Searches in these guidelines).

CN Police may also be available to assist supervisors in any situation under this policy.

The CN Police may be requested by a supervisor to act as technicians in administering breath alcohol tests in cases when there is reasonable cause.

The first point of contact to arrange drug testing is Medical Services: 1-800-807-6777. However, during off hours, the CN Police Call Centre can be contacted to arrange testing at 1-800-465-9239.

[16] Searches on page 35

CONSEQUENCES OF A POLICY VIOLATION

General Provisions

If an employee violates the provisions of this policy or does not meet the company's satisfactory standards of work performance as a result of alcohol or other drug use, appropriate corrective action will be taken.

In all situations, an investigation will be conducted and documented (in accordance with collective agreements, if applicable) to verify that a policy violation has occurred before corrective action is taken. In these cases, the supervisor has the authority and discretion to remove from assignment any employee believed to be involved in an incident that could lead to disciplinary action, pending the results of the investigation.

Policy Violations

Violations

The appropriate corrective action in all cases depends on the nature of the violation and the circumstances surrounding the situation. Some violations are considered sufficiently serious that dismissal is warranted on a first occurrence. Examples include, but are not limited to, trafficking in or possession of illegal drugs or consumption of beverage alcohol or illegal drugs on company premises, while on company business or when driving a company vehicle or equipment.

Any confirmed violation of this policy by an employee will result in progressive corrective action, with increasing severity depending on the seriousness of the violation up to possible dismissal.

Positive Test Results

For all employees, a verified positive test result may lead to corrective action up to and including dismissal.

Depending on the circumstances, employees (including those covered by the By-Pass Agreement) may be permitted to continue their employment with the company. Such employees will be advised of the conditions governing their continued employment, which will include at a minimum, the following:

- assessment by a substance abuse professional;
- completion of any recommended treatment program;
- a negative result on their return-to-duty alcohol and drug test;
- unannounced testing for a period of at least two years;
- adherence to any rehabilitation conditions or requirements;
- no further positive test results and/or policy violations during the monitoring period; and
- maintenance of job performance according to expectations.

Where in the opinion of a qualified substance abuse professional there is a risk that an employee could not do their job safely, the individual may be assigned to alternate duties if available and appropriate.

Failure to Submit to a Test

For all employees, failure to report for a test within the designated time frame, refusal to submit to a test, or any attempt to tamper with a test sample is considered a policy violation.

Failure to submit to a test demand made by a peace officer may result in criminal prosecution.

Off-duty Activities

In addition to the above, CN will investigate any situation where off-the-job activities involving alcohol or drugs (e.g. impaired driving convictions, conviction for trafficking, bootlegging, etc.) may have implications for the workplace and will take appropriate action.

ALCOHOL AND DRUG TESTING

The following section details under what circumstances testing should be conducted and provides a general overview of the testing process. Further details on the administrative procedures to be followed, in each instance where testing is required, are found in the. Following pages.

Should any supervisor or other company officer have a question with regard to testing or any other aspect of the policy, they should contact their Supervisor, Human Resources or Risk Management.

Alcohol and drug testing will be conducted in the following circumstances:

	Safety Sensitive	Specified Management	Other
Pre-employment(drug only)	Yes	Yes	No
Pre-assignment to SSP/SMP	No	No	Yes
Reasonable cause/ Post Accident	Yes	Yes	Yes
Return after violation	Yes	Yes	Yes
Return after treatment	Yes	Yes	No

Employees crossing into the United States are subject to testing after specific categories of accidents. For Canadian-based employees, for the purposes of this policy, a verified positive test result in the United States will be equivalent to a positive test result in Canada.

PRE-EMPLOYMENT/ASSIGNMENT TESTING

Circumstances

Individuals seeking assignment to a [17]safety-sensitive or [18]specified management position, either as current employees or new hires, must pass a drug test as a final condition of employment. (Note: This requirement does not apply to individuals already in a safety-sensitive or specified management position.) In cases where individuals regularly transfer into one of these positions, pre-assignment testing may not be required if the employee has a current medical fitness for duty card.

What Substances

Drugs only

Procedure

After all other requirements for hiring or assignment have been met, including successfully completing a pre-employment/assignment medical, applicants will be referred for a drug test which must be passed as a final condition of employment. Keep in mind that they will be advised in advance of the requirement to pass a test. If they test positive or refuse to participate, they will be referred to a substance abuse professional for assessment. If they are assessed to have a problem, they will not be eligible for employment in the safety-sensitive or specified management position. Should it be determined that the applicants have a

[17] Safety-sensitive definition on page 16

[18] Specified Management Position defined on page 18

dependency problem, they will be asked to follow a recommended treatment program. These applicants may reapply for a safety-sensitive or specified management position after having complied with a recommended rehabilitation program.

REASONABLE CAUSE

Circumstances

Testing will take place when the company determines there is reasonable cause to suspect alcohol or other drug use or possession in violation of this policy.

Post Accident

Employees directly involved in train accidents meeting specific criteria should be tested for drugs and alcohol within 4 hours of the accident.

The triggering accident must meet at least one of the following criteria:

- a major train accident, which results in any of the following: a fatality, a release of hazardous materials with an evacuation or reportable injury, substantial damage to railroad property
- a fatal train accident involving a fatality to an on-duty railroad employee

Note: Rail/highway crossing accidents and accidents entirely attributable to natural causes, vandalism or trespassing do not trigger post-accident testing for employees.

In the situation of post accident testing during regular hours, call CN Medical Services at 1-888-807-6777 and, for off hours, call the CN Police Call Centre at 1-800-465-9239 to arrange for drug testing. CN Police should be called for alcohol testing. Both alcohol and drug testing should be done after the accident.

What Substances

Alcohol and drugs

Procedures

The decision to test shall be made by a supervisor in conjunction with a second person (e.g. another supervisor or other individual) wherever possible. The decision will be based on specific, personal observations such as, but not limited to:

- observed use or evidence of use of a substance (e.g. smell of alcohol);
- erratic or atypical behaviour of the employee;
- changes in the physical appearance of the employee;
- changes in behaviour of the employee; and/or
- changes in the speech patterns of the employee.

Supervisors will receive training on reasonable cause testing and must document the reasons for requiring a test as soon as possible after the referral is made. The Reasonable Cause Report Form may be useful and can be obtained through their Manager, Human Resources or Risk Management Officer. The supervisor should contact Medical Services at 1-888-807-6777, or during off hours, call the CN Police Call Centre directly at 1-800-465-9239 to arrange for sample collection.

In those cases where the supervisor believes that a CN employee is under the influence of alcohol or other drugs while driving a CN vehicle or operating equipment, this may be a Criminal Code offence, and the CN police should be contacted immediately at 1-800-465-9239. Either the CN police or local police should investigate the situation and undertake alcohol testing; subsequently, Medical Services at 1-888-807-6777 should be contacted to collect the drug test.

RETURN TO DUTY AFTER A POLICY VIOLATION: CONTRACT FOR CONTINUTING EMPLOYMENT/REINSTATEMENT

Circumstances

If employment is continued, testing is required as a condition of continued employment on return to duty after a positive test for alcohol or drugs or any other significant policy violation as established in a Contract for Continuing Employment/Reinstatement.

What Substances

Alcohol and drugs

Procedures

Testing will be conducted on an unannounced basis for at least two years. This will be done in accordance with the terms of the Continuing Employment/Reinstatement Contract as agreed to by the company and the union.

The dates will be determined on an unannounced basis through Medical Services. The site manager will be informed that an individual is required to report for a test, and arrangements will be made to complete the collection process as soon as possible after site management has been notified. The scheduling will remain unannounced to the employee until such time as the collection can be arranged.

RETURN TO DUTY AFTER TREATMENT: COMMITMENT TO WORKPLACE REHABILITATION

Circumstances

Testing may be required as part of the confidential commitment to workplace rehabilitation developed by Medical Services and a substance abuse professional for individuals in a safety-sensitive position who are returning to duty after completing a treatment program.

What Substances

Alcohol and drugs

Procedures

Testing will be conducted on an unannounced basis in accordance with the confidential commitment to workplace rehabilitation established between Medical Services and the employee. The dates will be determined by Medical Services and arrangements will be made to complete the collection process as soon as possible, while maintaining confidentiality regarding the employee's workplace rehabilitation. The schedule for a test will remain unannounced to the employee until such time as the collection can be arranged.

TESTING PROCEDURES

To arrange for a drug test under this policy, contact Medical Services during working hours at 1-888-807-6777 and CN Police after hours at 1-800-465-9239. Alcolhol testing is to be arranged through CN Police at 1-800-465-9239.

Sample collection, testing and reporting of results will be conducted in accordance with standards established by the U.S. Department of Health and Human Services, and/or the Standards Council of Canada in order to ensure the accuracy and integrity of results.

Appropriate sample collection, storage and chain-of-custody procedures will be followed. In addition:

- Employees who are proposed to be the subject of a drug or alcohol test will be requested to sign a form at the time of sample collection, authorizing the release of complete results to a designated company official in charge of the program. This release will also make it clear to the applicant that should the results of the test be positive or should he/she refuse the test, this will be considered a policy violation. This release of information is an integral part of the forms used by the Dynacare Lab and collection system, which provides services on behalf of Medical Services.
- Except for the release of information in accordance with this policy, the law and in situations affecting the health and safety of workers and the public, results of all testing will be maintained by the designated company official and will be kept confidential.
- Testing will be conducted in those circumstances outlined under the policy (as previously noted). Tests will be conducted to determine the presence of cannabinoids, amphetamine/methamphetamine, cocaine, opiates, phencyclidine, and alcohol with the following exceptions:
  - in a reasonable cause testing situation, the analysis may be expanded to include additional drugs.
  - in a monitoring program on return to duty after treatment, the analysis may be for additional drugs as determined by the treating physician in conjunction with Medical Services.
- The testing program will cover alcohol and the specified drugs only; it will not include testing for other medical conditions or substances.
- Alcohol tests will be administered and confirmed by a calibrated breathalyzer wherever possible. Samples for urine-alcohol testing will only be taken in those situations when a calibrated breathalyzer cannot be available for sample collection within a reasonable period of time; in that case, two samples will be collected 20 minutes apart. All drug tests will be administered by urinalysis.
- Collection of urine specimens and administration of alcohol tests will be performed by trained collection agents at company-designated collection sites managed through Medical Services.
- In any situation where there is the possibility of a Criminal Code violation, investigation will be conducted by CN Police, who will conduct or arrange for alcohol testing; Medical Services would then arrange for sample collection for drug testing.
- Urine samples will be analyzed by a fully qualified and accredited laboratory contracted through Medical Services using a two-step process: initial screening by immunoassay and all confirmations being performed by gas chromatography/mass spectrometry (GC/MS).
- Confirmed positive test results will be reviewed by a qualified Medical Review Officer and the employee concerned will be given an opportunity to explain the finding before it is communicated to management.

- For the purpose of this policy, a positive alcohol test will be one in which the blood alcohol concentration is .04 BAC or more.
- A positive drug test is one in which the amount of drug in the sample identified by the confirmation test exceeds the cut-off levels established by the Standards Council of Canada and the U.S. Department of Health and Human Services. All positive results reported by the laboratory will be reviewed by the company's Medical Review Officer, who will ask the employee to determine if there is a legitimate medical reason for the finding. Only those results that are verified as positive by the MRO will be reported to the company as being positive. Company management will then take appropriate action in accordance with the policy.
- In the case of a verified positive test result from a test conducted in accordance with this policy, the employee may request that the sample be re-tested by another accredited laboratory. In these cases, the employee must make this request within 72 hours of being notified of the results. In the case of a second confirmed positive test, the employee requesting the second analysis is responsible for the associated costs.
- In a reasonable cause situation, samples for drug testing will be taken as soon as possible, and within 32 hours of the decision that testing is required. Alcohol tests should be conducted within two hours of the event, but no later than eight hours. Reasons for being unable to collect the samples within these time frames must be documented.
- In all cases of a positive alcohol or drug test, supervisors will be responsible for fully investigating the circumstances and determining if any action is required. Supervisors must inform Medical Services of all tests done, whether the result is positive or negative.

Rehabilitation Monitoring

Commitment to Workplace Rehabilitation

As a means of relapse prevention and to assist in assuring continued safe performance, an employee diagnosed with a substance abuse disorder may be required to sign a commitment to workplace rehabilitation in order to continue working in a SSP/SMP. This commitment is a confidential agreement between the employee and Medical Services, who will manage and oversee the commitment.

The commitment will be required as follows:

- as a condition of return to work in a SSP/SMP after treatment for a substance abuse disorder

Non-compliance with the Commitment to Workplace Rehabilitation, as assessed by Medical Services, will, according to the commitment, result in management (Human Resources, Functional Head) being informed of the existence of this agreement and non-compliance with the terms of rehabilitation. In order to return to work in the SSP/SMP, the employee must follow any recommended treatment program and comply with a new rehabilitation program which will be governed by an employment contract.

DRAFT

CONTINUING EMPLOYMENT CONTRACT

In the case of a policy violation or non-compliance with a Commitment to Workplace Rehabilitation, an employee may be required to sign a contract for continuing employment, along with his/her bargaining agent. The purpose of this contract will be to assist in relapse prevention and to ensure continued safe performance. This contract, signed by management and the bargaining agent, will be administered by Medical Services who will make recommendations regarding compliance with the contract to management. Non-compliance with the contract will be governed with the terms of the contract.

Continuing Employment Contracts may be established where:

- employees who were part of a confidential relapse prevention program and had signed a Commitment to Workplace Rehabilitation have been non-compliant with this commitment
- employees who have violated the policy but who are not dismissed from work

Contract

Reinstatement contracts may include additional requirements. Please see "Guidelines for Process of Re-Instatement" which follow.

DRAFT

GUIDELINES FOR PROCESS OF REINSTATEMENT

Conditions for initiating a reinstatement request:

An employee dismissed as a result of a violation of the Policy to Prevent Workplace Alcohol and Drug Problems, or who is discharged for a Rule G violation may apply for reinstatement under the following conditions:

- there must be a period of 12 months minimum elapsed from the time of the dismissal to the initiation of the request for reinstatement.
- there are no outstanding disputes regarding the aforementioned dismissal.

Procedure:

1. Employee should write to the appropriate company officer (i.e. Director, Human Resources, Function Heads, etc.) with a copy to the EFAP Manager requesting favourable consideration for reinstatement. Such a request must be accompanied by all documentation attesting to the program of rehabilitation followed, including letters of commendation regarding lifestyle changes, letters from employers, volunteer organizations, etc.

2. In the case of unionized employees, the General Chairperson's office must provide Human Resources with a letter outlining their concurrence with both the request and the reinstatement procedure including the signing of a continuing employment contract.

3. Following review by the appropriate Director, Human Resources, Function Head, or designate in consultation with Human Resources, a letter will be sent to the employee as to whether the request will be considered. This should occur no later than 21 days from receipt of the above information. The appropriate Director, Human Resources or designate should also notify the System EFAP Manager as to whether the application for reinstatement will be considered.

4. If the application is to be considered, the EFAP Manager will review the above described material, arrange at his/her discretion for external assessment and forward a recommendation to the appropriate Director, Human Resources within 14 days. A copy should also be sent to the Human Resources Manager handling the file.

5. Within 21 days from receipt of the recommendation, the appropriate Director, Human Resources will render a decision, which will be forwarded to the employee and functional manager.

Return to Work:

If the employee is required to maintain a rules designation, **the class must be taken and passed prior to return to work.**

- The employee will be reinstated without compensation.
- Seniority will be reinstated according to the relevant agreements.

Employees who are reinstated under the terms of these guidelines will be required to sign and comply with the [19]CN Continuing Employment Contract. Any breach of the contract will result in dismissal with no further consideration for reinstatement.

Follow-up:

A copy of the employee's re-instatement contract will be held by the appropriate Director, Human Resources or designate. In addition, a copy will be appended to the employee's personal medical file held by Medical Services.

[19] CN Continuing Employment Contract on page 41

IMPAIRED DRIVING CHARGES OR CONVICTIONS

It is prohibited to be on duty or to be in control of a CN vehicle anytime while under the influence of alcohol or drugs, including the after-effects of such use. All employees who drive a company vehicle, or drive on company business are required to maintain a valid driver's license. Any person required to maintain a valid driver's license must report the loss of the privilege to drive to their supervisor.

For employees who require a valid driver's license in the performance of their duties or for employees who operate railway equipment, and who lose the privilege to drive off duty, off of CN premises and not in a CN vehicle, the following provisions will apply:

Impaired Driving Charge

Any employee in these circumstances who has been charged with an impaired driving offence (including but not restricted to blowing over the legal BAC for driving in the jurisdiction where the charge occurred, driving while impaired, or refusal to blow into a breathalyzer) must inform a supervisor within one working day and must report to a company-designated medical centre within three working days of the date of the charge.

A substance abuse professional will undertake an assessment to determine if there is a need for a structured assistance program. If there is a need, the employee will be directed to a treatment and rehabilitation program through Medical Services. If there is any question about safety, the individual will not be able to drive or operate equipment on behalf of the company until the limitation is lifted. Medical Services will determine whether any medical restrictions should apply to the driving of a company vehicle. The employee will be assigned alternative duties, if available and appropriate.

In those cases where employees fail to report the charge and the company becomes aware of the situation, they will be subject to corrective action up to and including dismissal.

Impaired Driving Conviction

Loss of a driver's license as a result of a conviction for an impaired driving offense or court order prohibiting the employee from operating a motor vehicle and/or railway equipment is grounds for corrective action. Each case will be fully investigated, and the action taken will depend on the circumstances surrounding the conviction.

A substance abuse professional will undertake an assessment to determine if there is a need for a structured assistance program.

An employee may be accommodated in another position provided they have previously reported the charge, but such accommodation is not absolute or indefinite. If driving is required in the performance of an employee's duties, and the company determines that an alternative position is not available or appropriate, the company may dismiss the employee.

ESCORT PROCEDURES

If an employee is deemed by a supervisor to be unsafe for work or otherwise in violation of the policy while in the workplace, he or she will be escorted from the workplace. The employee will be given an opportunity to explain why he/she appears to be in a condition unsafe for normal duty. If it is determined that the employee is fit for duty after the interview, he/she may return to the worksite.

First priority must be given to the possibility of a medical problem. In case of a suspected medical problem, the employee will be escorted to the nearest location for immediate medical attention.

If the individual conducting the interview still believes the employee is in a condition unsafe for normal duty because of the effects of alcohol or drugs, and after consultation and agreement of a second person where possible, the following actions will be taken:

- the employee will be required to submit to an alcohol and drug test where there are reasonable grounds to believe alcohol or drug use may be a factor ([20]see Testing); and
- the employee will be provided with transportation to his/her place of residence or the care of another person.

At supervisor discretion, any employee may be temporarily withdrawn from his/her assignment or reassigned pending medical determination of fitness for duty and/or completion of an investigation into a possible violation of this policy. An employee will not be allowed to return to his/her position without prior management consent, after giving consideration to the job function performed, the safety of the work environment and any appropriate conditions governing the return of the employee.

Any visitor identified as unsafe will not be allowed on the site, or will be escorted from the site.

SEARCHES

CN reserves the right to conduct unannounced searches for alcohol or drugs on company owned or controlled premises, including mobile equipment or vehicles. Searches will be conducted where the company has reasonable grounds to believe these substances will be present in contravention of the law or this company policy.

Supervisors will identify situations when a search may be warranted, (e.g., presence of drug paraphernalia, reported, visible or olfactory evidence of the presence of alcohol or drugs) and will contact CN Police for advice before taking any action. CN Police will assist in the conduct of searches wherever possible, or will advise on the need for the involvement of appropriate law enforcement agencies. Supervisors will not conduct a search themselves before consulting with CN Police.

[20] Testing on page 29

DRAFT

GUIDELINES ON HOSTING

In the case of any company social event or hosting situation that could include company business activities, the safety and well being of the individuals present and the community should be the top priority. Alcohol use is not permitted under any circumstances on CN property, except in limited circumstances, subject to prior approval by a Vice-President, and in accordance with the guidelines below. A specific exception to this policy would allow a contracted commercial vendor duly licensed in the jurisdiction to conduct business on CN property where alcohol is served (e.g. licensed food and beverage establishment).

Alcohol is permitted at CN social functions off-site, provided that basic policy standards are observed (e.g. fitness for work), that alcohol consumption is controlled so there is no inappropriate behaviour at the function or impaired driving afterwards, and that guidelines are followed. Where there are concerns about safe driving after the function, alternative transportation arrangements will be made available. Attendees at such functions are to be reminded of their personal responsibility in this regard.

In line with this, if alcohol is made available in the course of conducting business, employees are expected to use judgment and be responsible in hosting others.

The following guidelines will assist in the management of a CN function:

1. Wherever possible, professional/trained servers will work at each event and/or will supervise the use of untrained servers.

2. Each event will have a designated "chief host/hostess" (e.g. facility manager, event convenor) with responsibility for:
   - obtaining appropriate permits;
   - establishing the general tone of the event;
   - acting as the sole contact with the servers during the function regarding opening and closing times, food and beverage arrangements, etc.;
   - ensuring bars are attended at all times;
   - ensuring alcohol is not served to individuals who appear to be intoxicated;
   - taking steps to prevent abusive or unsafe behaviour;
   - taking steps to prevent an apparently intoxicated attendee from driving after the function;
   - providing alternate transportation or accommodation where necessary (e.g. cab chits, designated drivers, or other alternatives); and
   - contacting the police if an incident occurs or an attendee disregards advice and attempts to drive in an intoxicated state.

3. In all circumstances, events will be managed in a way that avoids the potential for accidents, including identifying and eliminating potentially harmful situations (e.g. closing access to a major stairway).

4. Responsible serving practices will include providing food and non-alcoholic drinks, including coffee and tea after the bar has closed, establishing a firm time to end the event, and stopping service of alcohol at least one hour prior to the event being over.

5. Any hosting situation that results in inappropriate behaviour or risk to health and safety of attendees or the community will result in a review of these policies and active steps to ensure the problems do not occur again.

BUSINESS CONDUCT AND HOSTING

Although not comprehensive, these rules provide a summary of the guidelines related to alcohol consumption, which are fully explained above.

1. You may not drink alcohol at lunch.
2. You may not have alcohol on CN property or in a CN vehicle.
3. You may not consume alcohol prior to driving a CN vehicle.
4. You may not conduct business negotiations with alcohol in your system.
5. You may not consume alcohol on flights/train trips, etc. if you will be conducting business after the flight.
6. You may consume alcohol at dinner with customers, or at a social event,but if you do so, or if you supply alcohol to a customer, you must comply with the hosting guidelines in the policy.
7. In any situation where you are hosting others, you must use good judgment to prevent unsafe situations.
8. If a guest appears to be intoxicated, you must take steps to ensure they get home safely.
9. You must act responsibly at all times if you have consumed alcohol.
10. Failure to comply with the policy or the guidelines will result in corrective action up to, and including, dismissal.

CN PROPERTY/CN WORK

Because company concern for safety extends to the operations of contractors and tenants, CN encourages them to have a company alcohol and drug policy. A copy of CN's policy will be provided to all contractors and tenants who work on CN premises or conduct business on behalf of CN. The following provisions will apply to all contractors, tenants, licensees and their employees when on CN business or premises, except as approved by a Senior Vice-President. This does not limit retail outlets and licensed business establishments from carrying out their normal operations.

Policy Standards

At a minimum, all contractors and tenants are expected to ensure that their representatives remain free from any adverse performance effects of alcohol or other drugs and conduct themselves in an appropriate manner while on company business or premises. They will be made aware of the applicable policy provisions by company management, and are expected to ensure that their employees or subcontractors adhere to the following standards when on company business or premises:

- no use, possession, distribution, offering or sale of illegal drugs or drug paraphernalia;
- no use, possession, distribution, offering or sale of alcohol;
- responsible use of prescribed and over-the-counter medications;
- no trafficking (distribution, offering or sale) of prescription medications; and
- report fit for duty and remain fit for duty.

Policy Violation Procedures

Where a CN employee has reasonable grounds to believe any individual in the employ of a contractor or tenant is on duty in an unfit condition, or where during the preliminary phase of an investigation, an individual has been identified as being directly involved in the chain of acts or omissions leading up to an accident or incident:

- the contractor and/or tenant will be notified;
- they will be required to conduct the individual(s) to a safe place;
- they will be expected to investigate the situation;
- they must satisfy CN that there was no policy breach;
- the individual will not be allowed to return to any position with CN without written permission of a CN official, and will be required to adhere to any conditions governing their return.

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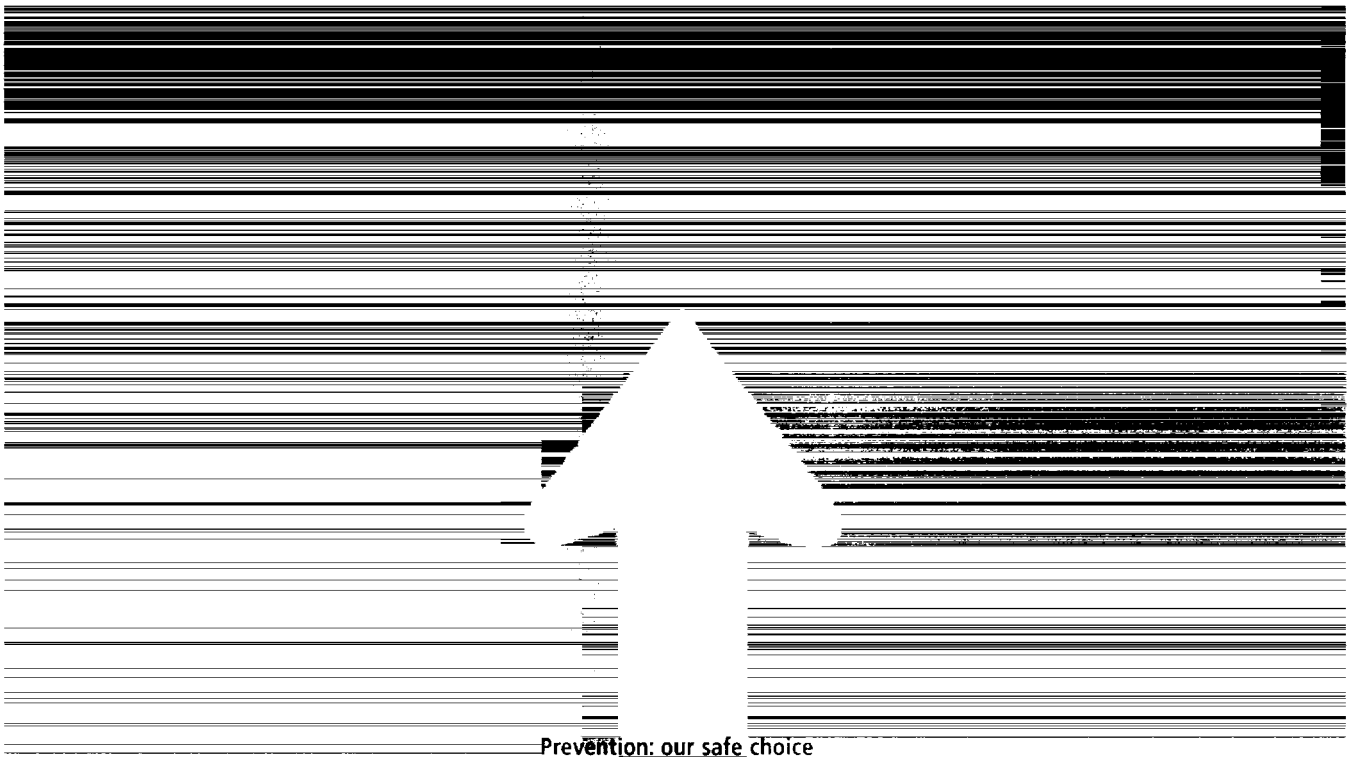
Department of Transportation Requirements

In addition to the above, all contractors providing drivers for international operations are required to certify they are meeting and will continue to meet U.S. Federal Highway Administration requirements under CFR 49 Parts 382 and 40 as part of their contract. CN reserves the right to audit contractors' programs to ensure compliance at any time. In addition, CN management must be informed if a driver is no longer qualified to drive in cross-border operations.

Consequences of Violation

Failure of contractors or their employees to meet these standards will be considered a breach of the contract, and will, in CN's sole opinion, result in triggering penalty clauses under the contract, or suspension or termination of the contract. In the case of tenants and licensees, any violation would be in violation of their lease agreement, and will, in CN's sole opinion, trigger penalty clauses or the suspension or termination of the agreement.

Any confirmed violation of this policy by a cross-border commercial motor vehicle driver will result in termination of the contract with CN.



Prevention: our safe choice

POLICY TO PREVENT WORKPLACE ALCOHOL & DRUG PROBLEMS

APPENDIX A.1

THE ROLE OF THE EFAP IN THE POLICY

CN recognizes that personal addiction and relationship problems are health problems and, if left untreated, can have a personal and financial impact on the employee, the family and ultimately on workplace productivity and safety. For this reason, CN provides the Employee and Family Assistance Program as a free, *confidential and professional service to employees and their immediate families. Assessment referral (if necessary) and short-term counselling services are provided by psychologists and clinical social workers through the EFAP Provider. Employees or family members (covered by other parts of the benefits plan) are encouraged to call the EFAP Provider directly. Known as self-referral, this is always the preferred way to seek help, as it encourages individuals to acknowledge their problems and make changes. This is the first instance in which the EFAP Provider may be involved in this policy.

Sometimes, because of the nature of addictive illness, employees with a problem may deny that they have one. In this case, as the impact of the problem increases (i.e., increased absenteeism, frequent accidents, lateness, gradual changes in the employees' appearance and/or unusual behaviour), the supervisor may meet with the employee, point out his/her concerns and ensure the individual is aware of the EFAP help available. The supervisor may also call the EFAP Provider for assistance or coaching in how to approach the employee. The EFAP Manager may also be consulted on this matter. The EFAP Provider may be involved in prescribing and monitoring a treatment program. This is the second instance in which EFAP Provider may be involved in this policy.

Keep in mind that whether an employee returns to work is always a supervisory decision. If the supervisor continues to have concerns abut the employee or if there are no changes in work patterns, management action must follow independent of whether the employee has sought help.

In cases where the supervisor believes that there is no policy violation and there might be a threat to safety if the employee were to report to work, a referral must be made to Medical Services. In such cases, the supervisor must receive a fit for duty assessment prior to the employee returning to the worksite.

In these cases as well, the EFAP Provider may be involved in the treatment and rehabilitation program prescribed through Medical Services.

This is the third instance in which the EFAP Provider may be involved in this policy.

The fourth instance of involvement of the EFAP Provider in this policy is in monitoring rehabilitation as part of a Continuing Employment/Rehabilitation Contract or Commitment to Workplace Rehabilitation as described in the guidelines to this policy.

In this case, regular follow-up and possibly counselling is a part of the relapse prevention program for addictive disorders.

APPENDIX A.2

How CN's EFAP Works

Non Safety-sensitive positions

1. Employee or immediate family member has a problem.
2. Call the EFAP Provider privately and explain situation. (Counsellor on phone is professionally trained)
3. Counsellor arranges appointment in employee's community. (If urgent, will arrange immediate intervention appointment; should never be longer than 5 working days)
4. Employee attends appointment to assess problem.The plan for addressing the problem is developed by employee and counsellor together.
5. Treatment plan is implemented

Safety-Sensitive positions

If employee is in a [21]safety-sensitive position, has a dependency problem, and there is no policy violation

1. Call the EFAP Provider privately and explain situation (Counsellor on phone is professionally trained).
2. EFAP Provider Counsellor arranges appointment in employee's community.
3. Employee attends appointment to assess problem.
4. If employee is in a safety-sensitive position and has a dependency problem, he/she is referred to Medical Services for further assessment.
5. Supervisor is informed that employee is medically unfit at this time, and no reason is given.
6. Plan for addressing problem is developed by employee and counsellor together.
7. Treatment plan is implemented.
8. Medical Services determines when employee is fit and function head is notified.

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APPENDIX B

Union/Management Agreement on the Control of Drug and/or Alcohol Abuse

Under the Influence

1. Supervisor/co-worker reports employee before employee has reported for duty or employee is reported by co-worker during work, and is eligible for By-Pass.
2. Escort employee home.
3. Meeting within 48 hours (union/supervisor/employee) or employee assessed by substance abuse professional.
4. Decision is made concerning whether employee has a drug/alcohol problem (dependency/illness).
5. If problem, treatment is recommended.
6. If no problem, employee is determined to have poor judgment.
7. The employee returns to work. However, the next time this happens, he/she will be dismissed.
8. There is a further assessment within 30 days of meeting and counselling session on impairment and safety.

APPENDIX C

MEDICATION GUIDELINES

Rule G of the Canadian Rail Operating Rules (CROR) states that:

a) The use of intoxicants or narcotics by employees subject to duty, or their possession or use while on duty, is prohibited.
b) The use of mood altering agents by employees subject to duty, or their possession or use while on duty, is prohibited except as prescribed by a doctor.
c) The use of drugs, medication or mood altering agents, including those prescribed by a doctor, which, in any way, will adversely affect their ability to work safely, by employees subject to duty, or on duty, is prohibited.
d) Employees must know and understand the possible effects of drugs, medication or mood altering agents, including those prescribed by a doctor, which, in any way, will adversely affect their ability to work safely.

Employees are expected to consult with their physician or pharmacist to determine if the use of a medication may affect job performance and to take appropriate action in order to manage potential impairment.

The following drug categories have been associated with performance impairment. They are provided as a guideline to employees in assessing their own situation. The list is not exhaustive as there are numerous other over-the-counter and prescription drugs that may have a negative impact on performance.

1. Antihistaminic Drugs
Widely used for many forms of allergies such as hay fever, hives, and eczema. They may also be found in many cold medications. **e.g. Benadryl, Chlor-Tripolon, Dimetane**

2. Motion Sickness Drugs
Used to prevent motion sickness and nausea. **e.g. Gravol, Stemetil**

3. Analgesic ("Pain Killer") Drugs
Opiates such as Codeine and Morphine are largely used to reduce pain.
e.g. Tylenol No: 2, 3, and 4, 292, MS Contin

In Canada, Codeine may be found in some over-the-counter medications for pain and cough control.
e.g. Tylenol No: 1, 222, Benylin-Codeine

Opioid **(e.g.Demerol, Oxycocet, Percocet)** and non-opioid **(Talwin, Darvon)** compounds are also used as strong pain killers.

4. Sedative, Hypnotic and Anxiolytic Drugs
They are widely used as "sleeping pills" and tranquilizers.
e.g. Barbiturates (Phenobarbital, Secobarbital Benzodiazepines (Ativan, Serax, Valium, Xanax, Dalmane, Halcion)

5. Stimulants

They are used for Central Nervous System stimulation and as appetite suppressants.
e.g. Amphetamines (Dexedrine), Ritalin

6. Antidepressants

Most of the older antidepressants may cause distortion of cognitive functions.
e.g. Elavil, Triavil, Tofranil,

Newer antidepressants have a much smaller side effects profile and are safer.
e.g. Prozac, Effexor, Paxil,

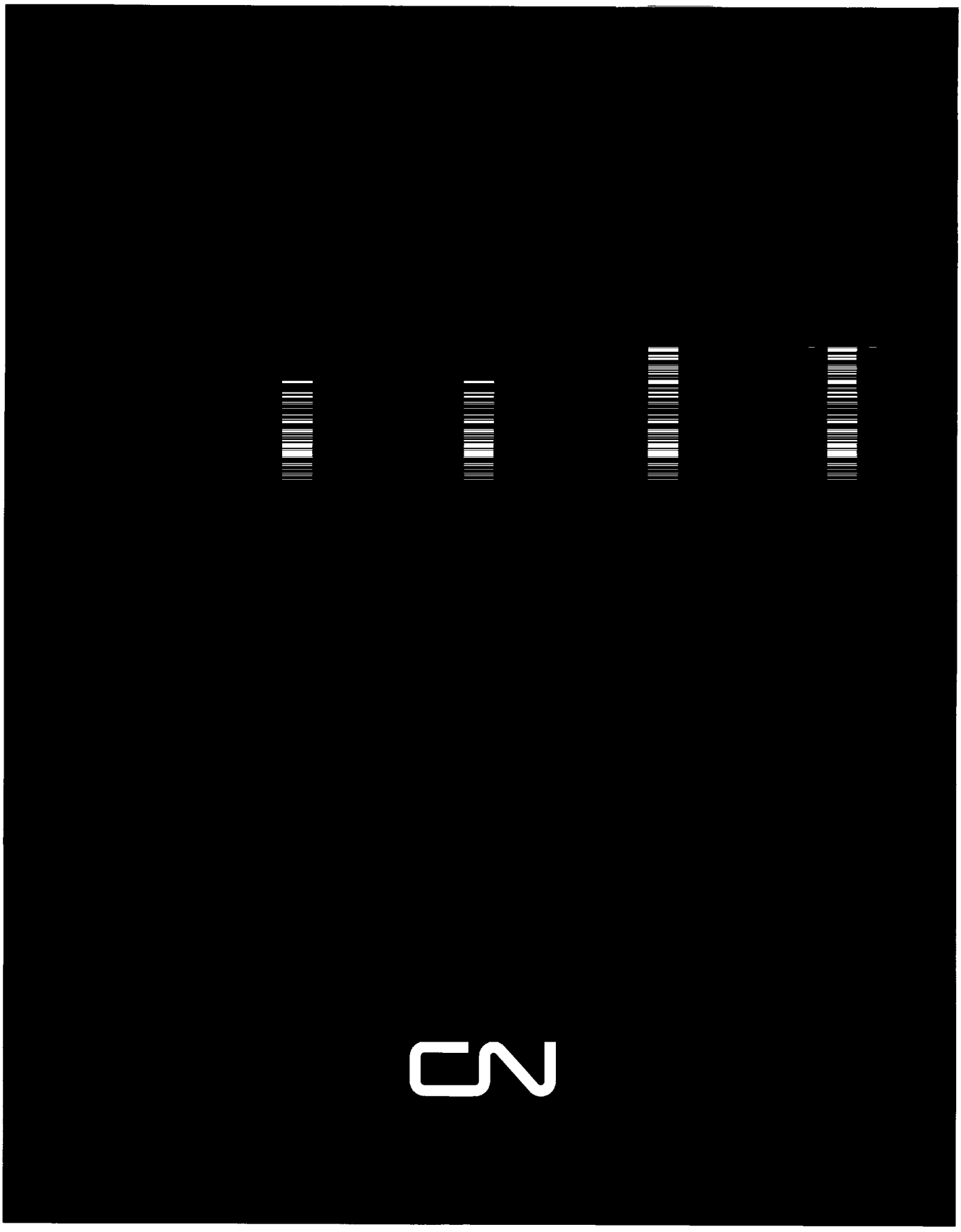
Some medications rarely used to treat depression have significant side effects.
e.g. Nardil, Parnate

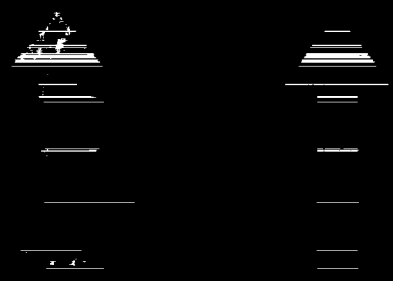
7. Muscle relaxants

Most muscle relaxants may cause sedation. **e.g. Flexeril, Robaxin, Robaxacet**

8. Anticonvulsants

They are used for the treatment of epilepsy or other seizure disorders. Rivotril is widely used as a tranquilizer. **e.g.Dilantin, Phenobarbital, Tegretol, Depakene, Rivotril**





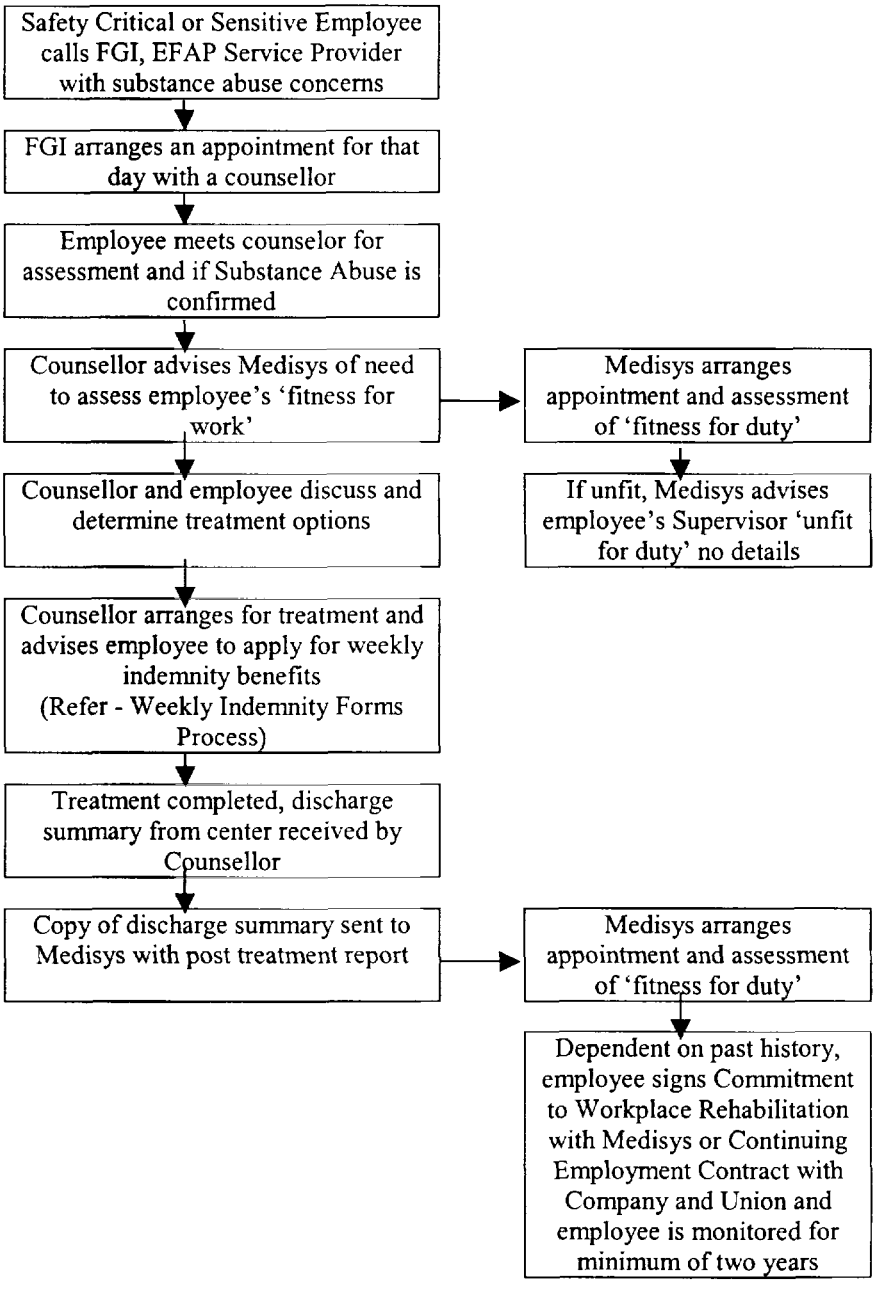
Prevention our safe choice

Policy to Prevent workplace Alcohol and Drug Problems

POLICY AND GUIDELINES

CN

PROCESS GUIDE
SUBSTANCE ABUSE SELF REFERRAL
SAFETY CRITICAL & SAFETY SENSITIVE EMPLOYEES



CANADIAN NATIONAL RAILWAY COMPANY

MEMORANDUM OF AGREEMENT between the Canadian National Railway Company, the United Transportation Union, Brotherhood of Maintenance of Way Employees, Canadian Signal and Communications Union, Brotherhood of Locomotive Engineers, and Rail Canada Traffic Controllers.

IT IS AGREED that effective May 24, 1990, the application of Uniform Code of Operating Rules "G" and "E" will be improved and progressively expanded to the balance of the System in accordance with the following:

1. Employees suspected of having consumed alcohol and/or using drugs while subject to duty or while on duty will not be dismissed on the first occasion when such incident is reported by a fellow employee or employees.

2. If the incident involves detection of a violation of this nature when an employee is reporting for duty, he or she will be sent home without pay and will be required to report as soon as an interview can be mutually arranged between the local Company officer(s) and local union representative(s). In any case, the employee will be interviewed within 48
hours from the time he or she is removed from service unless mutually agreed between the Company Officer and local Union representative.

   NOTE: It is understood that provided the employee has not commenced work, i.e., reported for duty and is on pay, he or she will be afforded the same consideration whether or not such incident is reported by a fellow employee or company officer. Normal practice with respect to the administration of Rule "G" insofar as company officers are concerned will apply in all other circumstances.

3. If the incident occurs while an employee is on duty, the employee will be relieved of duty by fellow employees immediately the incident is observed and in the case of running trades employees in road service, if safety permits the train will proceed to the next crew change point and the incident reported and arrangements for the joint interview
as provided in Item 2 hereof will be made.

4. If during the joint interview it is considered that the violation may have been caused by poor judgement only (i.e., no abuse problem) the employee will be, for greater certainty, interviewed by Employee and Family Assistance Program Personnel (EFAP Personnel) within 30 days of the joint interview. If EFAP Personnel confirms that no abuse problem exists, then the employee will be counselled on the seriousness of his or her actions and warned in writing with a record retained on his or her personal file that a repeat offence will result on his or her dismissal. It is understood that the employee will not be required to lose time as a result of the interview with EFAP Personnel.

5. If, on the other hand, it is determined that the employee may have an abuse problem, the employee will be referred to EFAP Personnel as soon as an appointment can be arranged. Should EFAP Personnel confirm that an abuse problem exists the employee will be afforded the terms and conditions contained in Article 3 - Employee Assistance Program of the Joint Union Management Agreement on the Control of Drug and/or Alcohol Abuse and a record retained on his or her personal file. An employee who refuses the decision of EFAP Personnel shall have the right to refer his or her case to a duly recognized alcohol or drug abuse specialist who he or she will authorize to make an assessment of his or her condition and provide a confidential report to the CN Medical Department. A copy of this report will be made available to the appropriate General Chairperson and the appropriate Company officer of the Division concerned. If in the opinion of the alcohol or drug abuse specialist it is revealed that the employee does
not have a problem the provisions of Item 4 hereof will apply. If it is confirmed that the employee has indeed an abuse problem, he or she will be afforded the terms and conditions contained in article 3 – Employee Assistance Program of the Joint Union Management Agreement on the Control of Drug and/or Alcohol Abuse. Failure on his or her part to take advantage of such opportunity could, after proper investigation of his or her case, result in dismissal.

6. If, in the course of any Rule "G" investigation it is determined that a fellow employee was aware of the violation of the rule and did not report or take action on this knowledge, such employee(s) will also be subject to investigation and possible discipline.

7. The appropriate General Chairperson may, after a period of not less than twelve months, make a recommendation to the appropriate Company officer of the Division concerned proposing the reinstatement of an employee who was discharged for violation of Rule "G" when the General Chairperson believes there are circumstances which warrant this action. Such cases will be thoroughly reviewed by the appropriate Company officer of the Division and the General Chairperson's will be advised of the position being taken by
the Company within 30 days of receiving the General Chairperson's recommendation. Any action taken by Division Management will follow the procedure normally connected with such re-instatement requests. In the event the Division and Regional Officers concerned support the employees' re-instatement, such cases will be submitted by the Division Vice-President to the Senior Vice-President, Operations for final approval.

8. An employee counselled or warned as described previously or reinstated after discharge and following investigation pursuant to the applicable collective agreement is later found to have violated Rule "G" again, will be dismissed without benefit of any of the procedure contained in this Agreement.

9. Employees discharged for violation of Rule "G" will be advised that EFAP Personnel are available to assist them should they so desire. However, it is understood that such former employees are not entitled to the provisions contained in the Joint Union/Management Agreement on the Control of Drug and/or Alcohol Abuse.

10. Employees governed by this Memorandum of Agreement will continue to retain their normal rights of appeal in the grievance procedure under their respective collective agreement.

It is understood that this Memorandum of Agreement can be the subject of review by the parties hereto after a period of one year or at any time as mutually agreed.

This Agreement will remain in effect until cancelled. Any party to this Agreement may cancel this Agreement upon sixty (60) calendar days notice in writing upon all signatories to this Agreement. During the continuance of this Agreement one of the Unions signatory hereto may withdraw from the Agreement upon sixty((60) calendar days notice in writing to the other signatories to this Agreement.

Signed at Montreal, Quebec, this 24th day of May, 1990.

FOR THE CANADIAN NATIONAL RAILWAY COMPANY:

(Signed by) J.P. Kelsall

Senior Vice-President, Operations

(Signed by) J.P. Laroche

Vice-President
Employee Relations

(Signed by) F.D. Campbell

Vice-President
Prairie Region

(Signed by) D.C. Fraleigh

Assistant Vice-President
Labour Relations

(Signed by) L. Piché

Assistant Vice-President
Personnel

FOR THE UNIONS:

(Signed by) L.H. Olson

Vice-President
United Transportation Union

(Signed by) A. Passaretti

Vice-President
Brotherhood of Maintenance of Way Employees

(Signed by) R.A. Bowden

System Federation
General Chairman
Brotherhood of Maintenance of Way Employees

(Signed by) G. Schneider

System Federation
General Chairman
Brotherhood Of Maintenance of Way Employees

(Signed by) J.E Platt

National President
Canadian Signals and Communications Union

(Signed by) G. Hainsworth

Vice-President
Brotherhood of Locomotive Engineers

(Signed by) P. Brunet

National President
Rail Canada Traffic Controllers